



Department
of
Education

**Preliminary System Configuration Specification
for
SFA Electronic Records Management System**

October 26, 2001

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1. Introduction

1.1 Purpose

This System Configuration and Integration Specification Document for the U.S. Department of Education (the Department) Student Financial Assistance (SFA) Electronic Records Management System (ERMS) is a detailed description of the selected commercial-off-the-shelf (COTS) software configuration and customization.

1.2 Project Description

The SFA ERMS project is designed to improve the efficiency of the SFA operations by use of an enterprise-wide records management solution. Records will be entered by system users or captured via a scanning process, placed in a searchable records management system, made accessible to those who have the appropriate security authority, and safeguarded according to SFA policy. Implementation of the solution developed will modernize the process of generating, managing, using, storing, securing, and disposing of hard copy and electronic records.

The SFA ERMS shall provide SFA with a central repository to store records and an automated mechanism to access and retrieve these records. This system shall serve as an official records management system.

This system will perform records management functions based upon the General Records Schedule and the Department of Education Records Disposition Schedule. Through the ERMS, authorized users will have the ability to search and retrieve these records online. Records will be filed and retrieved based upon established document classifications and indexes. The system will also support searches on document content. The resulting ERMS will improve both document access and management control.

The system shall be built using COTS products from Open Text Corporation that will be configured and minimally customized for SFA. The selected tools are Livelink and iRIMS, which have been certified by the Joint Interoperability Command of the Defense Department as being compliant with the DoD 5015.2 RMA Standard when integrated.

The system configuration described in this document focuses on the pilot office – the Document Receipt and Control Center (DRCC) of the SFA. Additional offices will be configured and brought online at a future date as determined by the SFA.

1.3 Document Organization

Section 1—Introduction describes the purpose of the document, includes a brief overview of the organization of the document, and lists key project references and acronyms used in the document.

Section 2—Livelink describes the EDM component of the system. This is the component that will be available to authorized users to support their business activities. The discussion will describe in detail the elements of Livelink and how they were configured.

Section 3—iRIMS describes the ERMS component of the system. This is the component that will be available to records managers to support records management activities such as the disposition of records.

APPENDIX A—Requirements Traceability Matrix maps the identified requirements as documented in the Requirements Specification to specific design and configuration elements.

1.4 Points of Contact

The following exhibit depicts the major participants in the SFA ERMS project.

Exhibit 1: Team Personnel

Name	Title	Phone
Bill Walsleben	Mod Partner (Accenture) Sr. Manager	703-947-7274
Jiji Alex	Mod Partner (Accenture) Sr. Manager	703-947-2145
Marsha Malkin	EDS Program Manager	703-741-7457
Umang Thapar	EDS Project Manager	202-414-4954
Timothy O'Connell	EDS Senior Engineer	202-414-4830
Frank Nemeth	EDS Advanced Systems Engineer	202-414-4785

1.5 Project References

The following documents were referenced for this document:

- Electronic Records Management Proposal Task Order #25 (Modification 01), April 20, 2001
- Student Financial Assistance Headquarters Records Management Handbook, January 16, 2001
- Requirements Specifications for the Student Financial Assistance Electronic Records Management System, March 30, 2001
- Student Financial Assistance File Plan, June 14, 2001
- Student Financial Assistance Records Control Schedule, June 18, 2001

1.6 Acronyms

COTS	Commercial Off the Shelf
DoD	Department of Defense
DRCC	Document Receipt and Control Center

EDM	Electronic Document Management
EDMS	Electronic Document Management System
ERMS	Electronic Records Management System
GRS	General Records Schedule
HTTP	Hypertext Transfer Protocol
IIS	Microsoft Internet Information Server
NARA	National Archives and Records Administration
RDBMS	Relational Database Management System
RSI	Record Series Indicator
R&D	Retention and Disposal
SFA	Student Financial Assistance
SP	Service Pack

2. Livelink

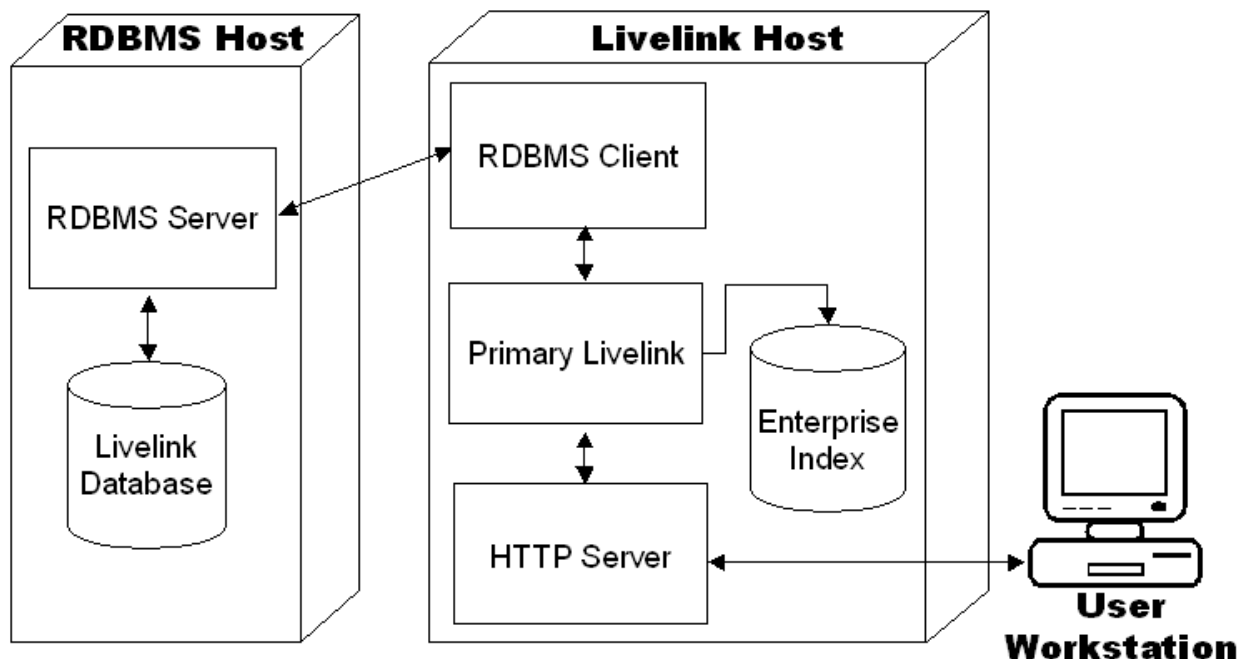
2.1 Component Overview

Livelink constitutes the EDM portion of the system. This will be the component of the system that will be available to all authorized users of the system and will be used to support the regular business process of SFA. Through Livelink, authorized users will be able to add document to the system, index documents using appropriate metadata, conduct searches, retrieve documents, and route documents to other users.

2.2 System Settings

The SFA environment is comprised of 2 Windows NT 4 with Service Pack (SP) 6 servers. The primary Livelink host will include the Livelink software, a Hypertext Transfer Protocol (HTTP) server, and a relational database management system (RDBMS) client. The secondary server will host the RDBMS. Refer to Exhibit 2, Livelink Remote RDBMS Architecture, for an illustration of the SFA environment architecture.

Exhibit 2: Livelink Remote RDBMS Architecture



The following software is installed on the primary host (Livelink Host):

- Windows NT 4 with SP 6
- Microsoft Internet Information Server (IIS) 4

- Oracle 8.1.6 client
- Livelink 9.0.0.1

The following software is installed on the secondary host (RDBMS Host):

- Windows NT 4 with SP 6
- Oracle 8.1.6 server

2.3 User Interface

Livelink is a web-based tool that is accessible through either Microsoft Internet Explorer or Netscape Navigator. Livelink is divided into Workspaces. Upon authentication, users are presented with the Enterprise Workspace.

The Enterprise Workspace is the primary screen that Livelink users will see. Livelink also has a Personal Workspace that has a similar look and feel as the Enterprise Workspace. The Personal Workspace contains objects that are only available to the user who is logged in. The Enterprise Workspace contains objects that are available to all authorized users.

The appearance of the Enterprise Workspace screen does change depending on where in the system a user is navigating and the user's security level. The layout of any Workspace screen can be divided into 3 general areas:

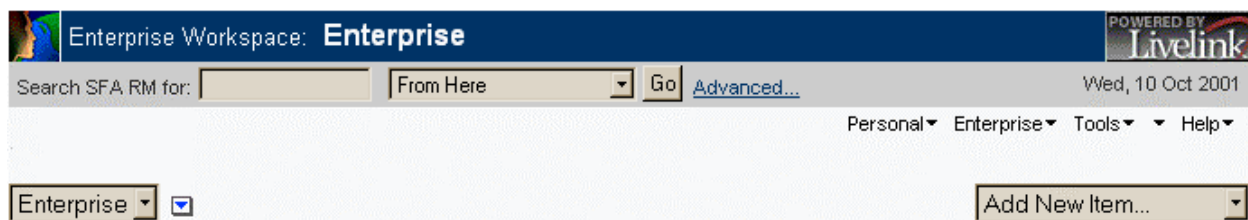
1. Menu
2. Catalog
3. List

Limits on access to the Personal Workspace are being examined in order to effectively utilize the system as a records management system.

2.3.1 Menu Area

The menu area consists of the top portion of the Workspace as indicated in Exhibit 3, Livelink Menu Area. This area contains the functions available to authorized users.

Exhibit 3: Livelink Menu Area



The menu for the Personal Workspace is being examined to limit only the functionality necessary for the user to utilize the system as a records management system. Currently, the menu area has not been customized.

2.3.2 Catalog Area

The middle portion of the Workspace screen is called the catalog area, as indicated in Exhibit 4, Livelink Catalog Area.

Exhibit 4: Livelink Catalog Area































The Enterprise Workspace has been customized with the SFA logo and links to websites of interest. In addition, custom code was written to provide for easier navigation within the SFA file plan.

A series of folders also appears in the catalog area. These folders contain links to various pre-configured searches and queries. Their contents will be addressed in Section 2.6 Search and Retrieval.

2.3.3 List Area

The bottom portion of the Workspace screen is the list area, as depicted in Exhibit 5, Livelink List Area. The area contains a listing of Livelink objects for that area.

Exhibit 5: Livelink List Area

Type	Name ↑	Functions	Size	Modified
	ACT - Accounting and Finance (400)		7 Items	July02 2001 01:43 PM
	ADM - Administration (100)		13 Items	July02 2001 02:08 PM
	AGR - Agreements (275)		8 Items	July02 2001 01:43 PM
	BUD - Budget (450)		6 Items	July02 2001 01:43 PM
	ELG - Eligibility and Oversight (800, 850, 875)		3 Items	July10 2001 03:42 PM
	GRL- Grants and Loans (700)		12 Items	July02 2001 01:43 PM
	HRM - Human Resources (300)		6 Items	July02 2001 01:43 PM
	IMM - Information Management (500)		5 Items	July02 2001 01:43 PM
	IRF - Internal Review and Follow-up (225)		9 Items	July02 2001 01:43 PM
	LEG - Legal and Legislative (175)		6 Items	July02 2001 01:43 PM
	MGT - Management Records (250)		9 Items	July02 2001 01:43 PM
	PLA - Planning and Analysis (150)		2 Items	July02 2001 01:43 PM
	POL - Policy (200)		3 Items	July02 2001 01:43 PM
	PRC - Procurement and Contracts (125)		3 Items	July02 2001 01:43 PM

The SFA File Plan has been entered as a series of nested folders in the Enterprise Workspace. The top level of the Enterprise Workspace shows the folders alphabetically sorted in a list by prefix. Each folder drills down to the appropriate level of the File Plan for that functional area. The lowest level of folders will contain SFA documents and records.

2.4 Document Types and Categories

Categories are the Livelink mechanism for assigning metadata to objects in Livelink. Each newly filed document is assigned to a series of categories, and each category represents a collection of metadata. Categories are Livelink objects that can be assigned to other Livelink objects. Livelink utilizes inheritance, and child objects will inherit categories from their parent objects, i.e., a document will inherit the category of its container folder.

Categories have been created to capture the required metadata. The categories have been assigned to folders in Livelink, which correspond to the File Plan. The Requirements Specification lists all the document types identified during the Requirements Phase of this tasking and the associated metadata. The SFA File Plan maps the identified documents for the pilot office to the File Plan. The pilot organization folders are those in the 850 series. Each folder for the pilot organization will have two categories associated with it. The first category is named: *Elg. & Cert. Main*. This category is assigned to the folder *850 SFA Eligibility and Oversight-Schools (Domestic and Foreign)*. This category contains the metadata that is common to all folders in the 850 series. All child folders inherit this category. Each child folder has an individual category assigned to it. This category lists the document types available for that folder.

Exhibit 6, Categories, lists the properties for the categories.

Exhibit 6: Categories

Category	Fields	Format	Default Value
Elg. & Cert. Main	OPE ID School Name School Year Document Date	Numeric Field Text Field Text Field Date	
850-2	Doc Type	Drop Down List	Program Participation Agreement (PPA) Temp Program Participation Agreement (TPPA) Eligibility Certification Approval Report (ECAR) PPA Addendum Financial Statement Catalogs and Prospectus Legal Authorizations Miscellaneous
850-3	Doc Type	Drop Down List	Approval Letter (Final) School Closure or Loss of Eligibility Letter Additional Locations CMIS Case Report Emails of Importance Congressional FOIA Acknowledgement Notices PPA Transmittal Letter Specialist Notes Miscellaneous
850-4	Doc Type	Drop Down List	Application Signature Page Additional Locations Approval Letter Accreditation Letter State License Cohort Default Letter Debarment Check 501(3)C – For Non-Profit Schools Case Team Review Sheets
850-5	Doc Type	Drop Down List	Financial Analysis Summary Letter of Credit Dunn & Bradstreet Inquiries Congressional FOIA Correspondence Waiver Extension

Category	Fields	Format	Default Value
850-6	Doc Type	Drop Down List	Audit Reports Final Audit Determination Letter (FAD) Audit Clearance Document (ACD) Data Deficiency Input Form (DDIF) Institution Response Appeal Resolution Draft & Final IG Audit Documentation Relating to Pell Adjustments Letters Regarding IG QCRS Emails of Importance
850-7	Doc Type	Drop Down List	Congressional Notifications
850-8	Doc Type	Drop Down List	Program Review Reports FPRD Letter Institution Response Appeal Resolution Documentation Relating to Pell Adjustments Email Congressional Correspondence FOIA Miscellaneous
850-9	Doc Type	Drop Down List	Financial Statement Reports Notes Accompanying Reports

A special modification was made to Livelink to accommodate the metadata field Originating Organization. As Originating Organization is a metadata element that is associated with all Livelink objects, it has been added as a node to all Livelink objects. This modification to the code eliminates the need to assign a separate category for each object to capture the Originating Organization. It is expected that that this will aid in system administration and also search and retrieval. The Originating Organization is populated through the use of a drop-down list. Those folders have a default value for Originating Organization - *Schools: Case Management and Oversight - Data Management and Analysis*. Exhibit 7, Originating Organizations, lists all the organizations identified during the requirements gathering phase.

Exhibit 7: Originating Organizations

Channel/Division	
1.	Chief Operating Officer
1.1.	SFA Intern Program
2.	Ombudsman
3.	Students
3.1.	Customer Service and Support Calls Centers

Channel/Division	
3.2.	Aid Awareness
3.3.	Application Processing
3.4.	Student Credit Management
3.4.1.	<i>DCS Systems</i>
3.4.2.	<i>Repayment</i>
3.4.3.	<i>Consolidation</i>
3.4.4.	<i>Collections</i>
4.	Schools
4.1.	Direct Loans Schools Relations
4.2.	FFELP Schools Relations
4.3.	Title IV Delivery
4.3.1.	<i>Operations</i>
4.3.1.1	<i>Direct Loans</i>
4.3.1.2	<i>PEPS</i>
4.3.1.3	<i>Campus Based</i>
4.3.1.4	<i>Pell</i>
4.3.2.	<i>Call Center</i>
4.4	Case Management and Oversight
4.4.1.	<i>Performance Improvement and Procedures, Admin Actions and Appeals Division</i>
4.4.2.	<i>Default Management</i>
4.4.3.	<i>Data Management and Analysis</i>
5.	Financial Partners
5.1	Partner Services
5.2	Financial Management
5.3	Partner Systems Liaison
5.4	State Agency Liaison
5.5	Program Development
6.	Chief Information Officer

Channel/Division	
6.1	E-commerce Application Development
6.2	Enterprise IT Management
6.3	Enterprise IT Services
6.4	IT Business Services
6.5	IT Innovations
7.	Chief Financial Officer
7.1	Accounting Policy
7.2	Accounting
7.3	Financial Reporting
7.4	Portfolio Management
7.5	Budgeting Process and Consolidation
7.6	Internal Review
7.7	SFA Administration
7.8	Financial Management System Requirements and Testing
8.	Acquisition and Contract Performance
8.1	Acquisition Planning
8.2	Contract Evaluation
8.3	Contract Development and Performance
8.1.1	<i>Acquisition Development</i>
8.1.2	<i>Contract Performance</i>
9.	Human Resources
9.1	Compensation and Benefits
9.2	Labor Relations
9.3	Recruiting
9.4	Performance Management
10.	Analysis
10.1	SFA Performance
10.2	Program Analysis

Channel/Division	
10.3	Program Development
10.3.1	<i>Grant Programs</i>
10.3.2	<i>Loan Programs</i>
10.3.3	<i>Direct Loans</i>
10.3.4	<i>General Provisions</i>
11.	Communications
11.1	Freedom of Information and Privacy Act
11.2	Internal Relations
11.3	Media Relations
11.4	Community Relations
12.	SFA University
12.1	Finance Team/Communication Team
12.2	Internal SFA Services
12.3	SFA Development
12.4	External Partner Services
12.5	University Services
12.5.1	<i>Knowledge Management</i>
12.5.2	<i>Learning Suppliers</i>
12.5.3	<i>Registration and Logistics</i>

2.5 Filing and Classification

Open Text uses the term classification to describe the process whereby a record is assigned a file code. Classification is also the term that is used in place of the terms file code or file tag. The use of the term classification in this document should not be construed to mean anything related to government security classifications or special marking as used by certain government agencies.

The classification code in Livelink is the direct link between Livelink and iRIMS. The classification code is an iRIMS code that instructs iRIMS how to manage the records throughout its lifecycle.

Classifications have been assigned to the folders representing the File Plan. Objects contained in those folders will inherit the classification code for its container. A more detailed discussion of the file plan will be found in Section 3.4.

2.6 Search and Retrieval

Search and retrieval will be the primary function that most Livelink users will perform. Livelink has robust search capabilities that allow for complex queries to be constructed and performed.

There are four search methods available in Livelink:

1. Simple search
2. Advanced Search
3. Query
4. Live Report

2.6.1 Simple Search

The simple search is a basic single field free-text search. It is available on any Workspace screen in the upper left-hand corner. No special integration or customization was needed.

2.6.2 Advanced Search

Advanced Search is the method used to construct complex ad-hoc queries. The Advanced Search allows users to combine search criteria in order to limit the search results. The search criteria can be any combination of categories, attributes, and text.

For the pilot organization, the default Advanced Search screen will be divided into three areas:

1. Full Text
2. System Attributes
3. Categories

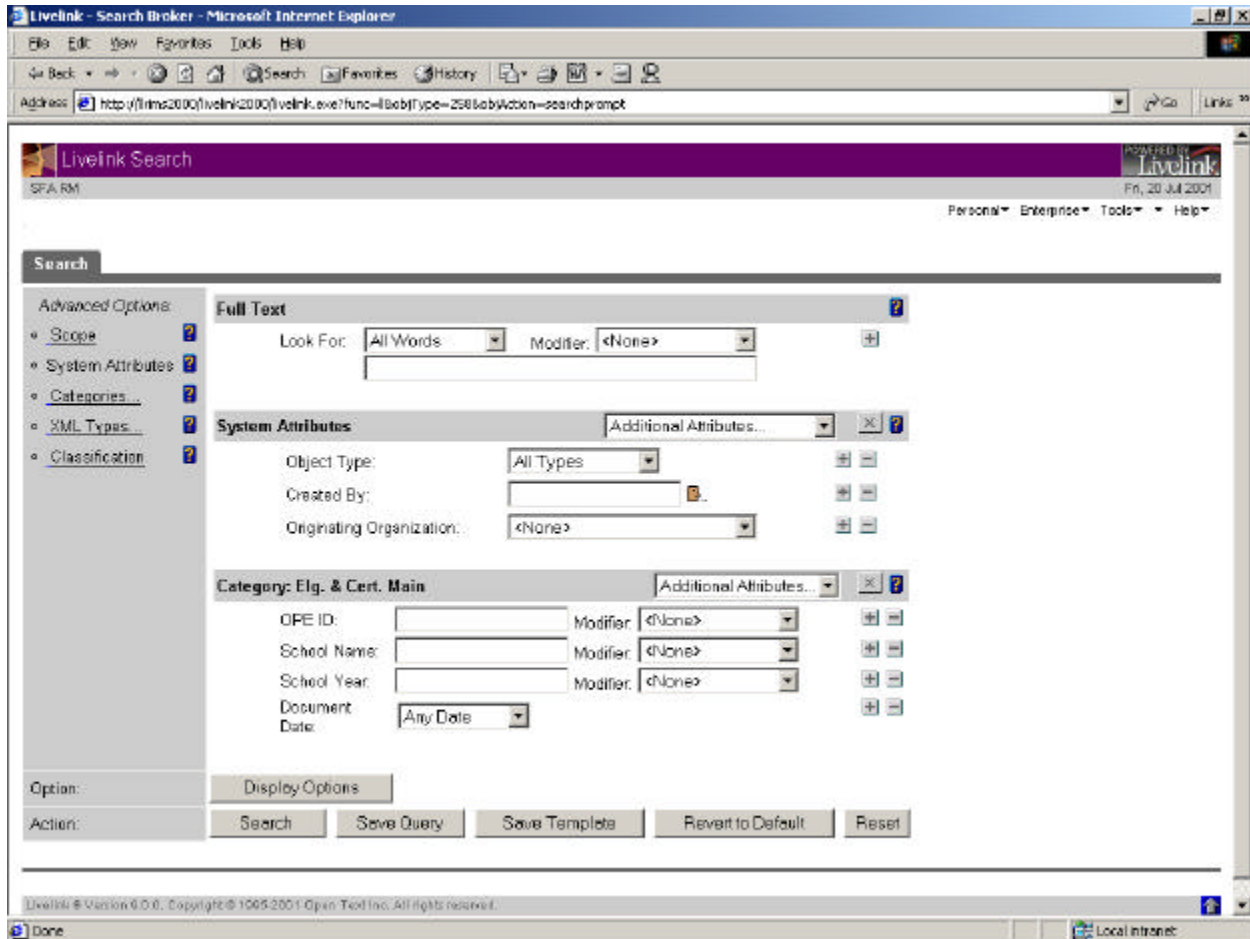
The Full Text area is the standard Livelink search. No modifications or customizations have been made to it.

The System Attributes area contains the standard Livelink fields Object Type and Created By. The field Originating Organization is a new node that is a customization to Livelink that was specifically developed for SFA. Exhibit 7 lists the possible values for Originating Organization.

The Category area defaults to the category Elg. & Cert. Main category. This is the primary category for the pilot office files.

Exhibit 8, Advanced Search Screen, shows the layout of the default Advanced Search screen for SFA. Individual users have the ability to customize this layout as required to conduct complex searches.

Exhibit 8: Advanced Search Screen



The Originating Organization column was added to the query results screen.

2.6.3 Query

Queries are saved as Advanced Search parameters. They are a mechanism for general users to save pre-defined search criteria. They do not require any special programming knowledge; however, users should have a good understanding of how to conduct searches in Livelink. Query is a useful tool for users who conduct frequent searches using the same criteria. No customizations were made for queries.

2.6.4 Live Reports

Live Reports are pre-defined reports in Livelink. They are more complex in scope than Query and require knowledge SQL programming and the Livelink table structures in order to configure. Live Reports prompt users for to search on specific criteria and return results listed in tabular form. Links to the Live Reports are provided in the Catalog Area of the Enterprise Workspace.

School files in the DRCC are stored in a manner in folders that have a specific function and layout. A series of Live Reports were created in order to mimic organization of the paper files as

closely as possible. The layout of these folders is specified in Section 4.4.3 of the SFA Metadata Requirements table contained in the Requirements Specification.

Six report types were created in order to achieve required results. Each of these reports has a version for to search by OPEID and by School Name.

1. Complete School File
2. Eligibility and Certification File
3. Audit File
4. Program Review File
5. Financials File
6. Document Type Search

2.6.4.1 Complete School File

Exhibit 9, Complete School File Report, returns all documents for a given school.

Exhibit 9: Complete School File Report

Prompt	Metadata Returned	Sort Order
OPEID or School Name	Date OPE ID School Name School Year Document Type	Date – Descending Document Type School Year

2.6.4.2 Eligibility and Certification File

Exhibit 10, Eligibility and Certification File Report, returns the contents of the Eligibility and Certification file for a given school.

Exhibit 10: Eligibility and Certification File Report

Prompt	Metadata Returned	Sort Order
OPEID or School Name	Date OPE ID School Name School Year Document Type	Date – Descending Document Type School Year

2.6.4.3 Audit File

Exhibit 11, Audit File Report, returns the contents of the Audit file for a given school.

Exhibit 11: Audit File Report

Prompt	Metadata Returned	Sort Order
OPEID or School Name	Date OPE ID School Name School Year Document Type	Date – Descending Document Type School Year

2.6.4.4 Program Review File

Exhibit 12, Program Review File Report, returns the contents of the Program Review file for a given school.

Exhibit 12: Program Review File Report

Prompt	Metadata Returned	Sort Order
OPEID or School Name	Date OPE ID School Name School Year Document Type	Date – Descending Document Type School Year

2.6.4.5 Financials File

Exhibit 13, Financials File Report, returns the contents of the Financials file for a given school.

Exhibit 13: Financials File Report

Prompt	Metadata Returned	Sort Order
OPEID or School Name	Date OPE ID School Name School Year Document Type	Date – Descending Document Type School Year

2.6.4.6 Document Type

Exhibit 14, Document Type Search, returns the contents of the School file for a given document type.

Exhibit 14: Document Type Search

Prompt	Metadata Returned	Sort Order
OPEID or School Name AND Document Type	Date OPE ID School Name School Year Document Type	Date – Descending Document Type School Year

2.7 Security

Livelink uses role-based object-level security to determine access privileges. Users are assigned to groups. Groups have system permissions assigned to them. Groups are also assigned to folders and other objects in Livelink where permissions are assigned for the specific object in question. Documents and other objects contained within the folders will inherit the permissions from the folder in which they are contained. Specific users were not identified by SFA; therefore, specific users will have to be identified during implementation and deployment.

The following three exhibits summarize the security model for SFA. Exhibit 15, SFA User Groups, describes the identified User Groups.

Exhibit 15: SFA User Groups

Group	Description
LLAdmin	Livelink System Administrator
iRIMS	iRIMS System Administrator
CM Manager	Case Management Managers
CM User	Case Management Users
CT User	Case Team
RO_Atl User	Atlanta Regional Office
RO_Philadelphia User	Philadelphia Regional Office
RO_NY User	New York Regional Office
RO_DC User	Washington DC Regional Office
AAAD User	Administrative Audits and Appeals Division
DMD User	Default Management Division
DRCC User	Document Receipt and Control Center
FS User	Foreign Schools
SFA Guest	Other SFA Offices (Direct Loans)

Exhibit 16, System Permissions by Role, describes the system permissions granted to each user group.

Exhibit 16: System Permissions by Role

Group	log-in enabled	create, modify users	create, modify groups	user administration rights	system administration rights	Folder	Alias	Generation	Workflow Map	Category	Compound Document	URL	Document	Project	Task List	Task	Channel	News	Discussion	Query	LiveReport	XML DTD
LLAdmin	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
iRIMS	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		

Group	log-in enabled	create, modify users	create, modify groups	user administration rights	system administration rights	Folder	Alias	Generation	Workflow Map	Category	Compound Document	URL	Document	Project	Task List	Task	Channel	News	Discussion	Query	LiveReport	XML DTD
CM Manager	X	x																				
CM User	X																					
CT User	X					X	x						x	x	x	x						
RO_Atl User	X					X	x						x	x	x	x						
RO_Philadelphia User	X					X	x						x	x	x	x						
RO_NY User	X					X	x						x	x	x	x						
RO_DC User	X					X	x						x	x	x	x						
AAAD User	X					X	x						x	x	x	x						
DMD User	X					X	x						x	x	x	x						
DRCC User	X					X	x						x	x	x	x						
FS User	X					X	x						x	x	x	x						
SFA Guest	X					X	x						x	x	x	x						

Exhibit 17, Permissions for the 850 Series Folders, describes the specific access permissions granted to users for the 850 series of folders. Permissions for the 850 Series folders are assigned at the folder entitled *850 SFA Eligibility and Oversight-Schools (Domestic and Foreign)*.

Exhibit 17: Permissions for the 850 Series Folders

Group	browse	see contents	modify contents	edit permissions	edit attributes	add items	delete items	delete versions	reserve versions
LLAdmin	x	x	X	x	x	x	x	x	x
IRIMS	x	x	X	x	x	x	x	x	x
CM Manager	x	x	X		x				
CM User	x	x	X						
CT User	x	x							
RO_Atl User	x								
RO_Philadelphia User	x								
RO_NY User	x								
RO_DC User	x								
AAAD User	x	x	X		x	x			
DMD User	x	x							
DRCC User	x	x							
FS User	x	x							
SFA Guest	x								

2.8 Audit

The Requirement Specification identified the need to support a full range of audit function. Specific audit tasks and reports were not identified. Therefore, audit are supported but not configured in the pilot system.

2.9 Administrative Reports

Administrative reports were an identified requirement; however, specific reports were not identified for the pilot implementation. Custom administrative reports may be constructed as the need arises.

3. iRIMS

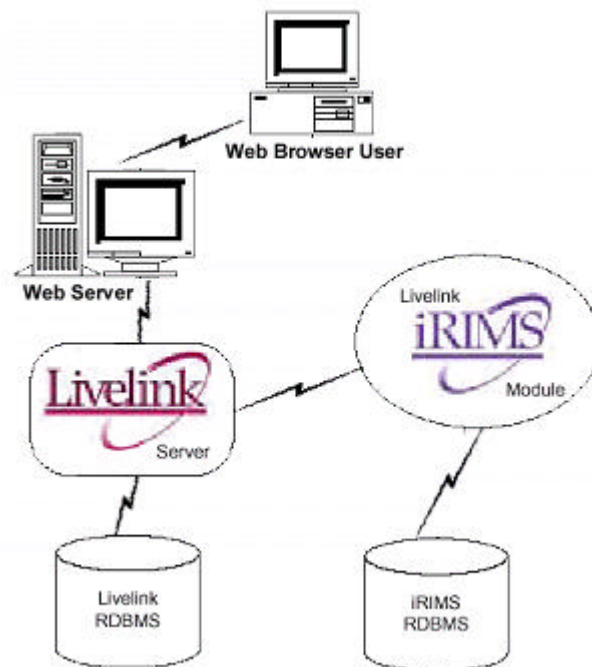
3.1 Component Overview

The Livelink iRIMS module provides users with records management functionality within Livelink. Livelink iRIMS provides the capability to classify items, mark items as official, and create classifications at the iRIMS folder level. In addition, when items are added to a Livelink folder, they can automatically inherit iRIMS classification information from the parent object.

3.2 System Information

The Livelink iRIMS module uses Livelink functions to perform queries against the iRIMS database. The metadata for the classification file plan and retention schedules is stored in the iRIMS database and maintained in the iRIMS File Manager and Retention and Disposition Manager. Exhibit 18, Livelink iRIMS architecture, illustrates the Livelink iRIMS architecture.

Exhibit 18: Livelink iRIMS architecture



3.2.1 System Installation

Prior to installing the iRIMS application, the Livelink environment must be installed, configured and running as described in Section 2.2, System Settings.

An Installation Guide is provided as a step-by-step process on how to install the Livelink iRIMS module. The version currently running in the SFA environment is Livelink iRIMS 9.0.0.6.

The setup program will copy all necessary integration files to your iRIMS directory and write the settings as described in Exhibit 19, iRIMS/Livelink Integration Settings, to the Livelink and iRIMS .ini files listed below.

Exhibit 19: iRIMS/Livelink Integration Settings

File	Section
Rims.ini	[EDM INTEGRATION] EDMPRODUCT=LIVELINK FRIENDLY NAME = Livelink
Opentext.ini	[options] wantLAPI=TRUE
Livelink.ini	[Livelink] ServerName=EDMLIVELINK ServerPort=80 SessionName={blank}

3.2.2 iRIMS Table Codes

The Table Maintenance Codes appear as choices in the drop-down list on the Details and List windows. These Table Codes need to be configured in iRIMS. Table Maintenance allows the system administrator to input and update codes for these user-defined lookup tables. Once a selection is added to the table, it appears as a choice in the drop-down lists in the related windows. Some listing tables that are not relevant to this project have been excluded, i.e., tables for tracking paper and boxes, etc.

Exhibit 20, iRIMS Table Maintenance Codes, identifies the Table Maintenance codes, Table Names, and a brief description of the codes and their functions.

Exhibit 20: iRIMS Table Maintenance Codes

Code	Description	Mandatory	Data
Accession Location Codes	Accession can be defined as a shipment number which identifies a group of boxes sent to the US Govt.'s National Archives – This code identifies Location (i.e. warehouse, Archives, etc.) boxes that were assigned an Accession are being stored (used by Government Departments who send their boxes to the National Archives for storage)	Y	NARA = NATIONAL ARCHIVES WNRC = WASH REC CENTER WHSE = WAREHOUSE (Specified Location)
Accession Status Codes	Identifies the present status of the Accession (used by Government Departments who send their boxes to the National Archives for storage)	Y	ACT = ACTIVE ARC = ARCHIVED DES = DESTROYED

Code	Description	Mandatory	Data
Archive Status Codes	Archive is used in the RSI (Record Series Identifier) module – the RSI identifies length of time item, i.e. Electronic Document, must be kept according to Federal/State or other laws. Once RSI identifier has been created, it can be sent to an Archivist (under Archives menu item) to ascertain if records series RSI is to be assigned to contain any archival records. The Archive Status could be Approved/Rejected/ etc.		ACT = ACTIVE INA = INACTIVE
Client Name	Used on three windows – 1) File-originally used to identify Prosecutor of a Case file (Dept. of Justice), 2) Box – identifies the owner (branch such as HR, Administration) of the box, 3) Patron – identifies the branch user works in. Could be used.		NOT USED
Document Status	Identifies the present status of a Document		ACT = ACTIVE DES = DETROYED INA = INACTIVE
File Final Disposition	Code used to identify the final disposition (retention or disposal) of an item.		DES=Destroyed SHR=Shred BUR=Burn REC=Recycle
File Format Codes	Identifies the format (structure) of a file number by the use of delimiters. Acceptable delimiters include dashes, slashes and periods.		SUB-Level1-Format- SUB-Level2-Format-- SUB-Level3-Format--- SUB-Level4-Format---- CAS-Level1-Format- CAS-Level2-Format-- CAS-Level3-Format--- CAS-Level4-Format----
File Status Codes	Code used to identify the present status of a file number.	Y	ACT = ACTIVE ARC = ARCHIVED DES = DETROYED INA = INACTIVE
File Storage Medium Codes	Code used to identify the type of medium file number identifies, i.e. paper, electronic, microfilm, CDs, tape, disks, etc.	Y	DSK = DISK ONL = ONLINE LIV = LIVELINK PAP = PAPER
File Type Codes	Identifies the various types of topics covered by a file number, i.e. subject file, case file, project file	Y	SBJ = SUBJECT SUB = SUBCATEGORY SUP = SUPER CAS = CASE
Folder Location Codes	Identifies the storage location of a file folder.	Y	ONSITE = ONSITE BAS = BASEMENT RECORDS= RECORDS OFFICE EXTERNAL = EXTERNAL LOCATION
Folder Status Codes	Code used to identify the present status of a file folder.		ACT = ACTIVE ARC = ARCHIVED DES = DETROYED INA = INACTIVE

Code	Description	Mandatory	Data
Folder Type Codes	Used to identify the various types of file folders, i.e. Volume (normal), Wallet (expandable folder)	Y	VOL = VOLUME WAL = WALLET SUP = SUPPLEMENT POC = POCKET
Hold Type Codes	When code is applied to an object, object cannot be deleted. (Relates to Retention/Disposal)		PEN – PENDING – 30 REV – REVIEW – 30
Reference Rate Codes	Used at the Box and RSI levels. Identifies the frequency Box or RSI information is to be referenced in the future. (Normally used to check to see if information is correct or must be modified)		LOW = Low Frequency MWDIUM = Medium Frequency HIGH = High Frequency
RSI Cross Reference Types	Code used to cross-reference on RSI to another. (RSI module must be purchased separately)		RSIREF1 = Reference 1 RSIREF2 = Reference 2
RSI Jurisdiction Codes	Code used to identify type of jurisdiction law governing Retention/Disposal the RSI deals with, i.e. Federal, State, Municipal, County (RSI module must be purchased separately)		FED = Federal MUNICIP = Municipal STATE = State PROV = Provincial (CAN)
RSI Justification Codes	Once Jurisdiction code is selected, Justification window details the type of law, citation, and other related information (RSI module must be purchased separately)		CIT = Citation LEG = Legal Reference RETC = Retention Code RETP = Retention Period DISPC = Disposition Code RCDAFF = Records Affected AGNCY = Agency
RSI Media	Identifies the type of media (paper, electronic, CDs, disks) RSI is to be applied to. (RSI module must be purchased separately)		ELE = Electronic MICRO = Microfilm PAPER = Paper CDS = Compact Disks DISKS = Diskettes
RSI Notes Types	Identifies the type of RSI Notes (RSI module must be purchased separately)	Y	FYI = For Your Information IMMEDIAT = Immediate Attention
RSI Recommending Office	Once RSI has been created, this code identifies the office, which is recommending its (RSI) approval. (RSI module must be purchased separately)		DATAMGT = DATA MANAGEMENT (DRCC) FINANCE = Finance Dept. ADMIN = Administration Dept. LEGAL = Legal Dept.
RSI Reference Type Codes	Used to reference one RSI to another (RSI module must be purchased separately)	Y	RSIREF1 = Reference 1 RSIREF2 = Reference 2
RSI Retention Codes	Identifies the type of retention/disposal of an RSI (RSI module must be purchased separately)		LONG = Long Term SHORT = Short Term

Code	Description	Mandatory	Data
RSI Retention Stage Codes	Code used to identify the stage (storage location/event) of records, ex: stage 1-retention on site, stage 2-store in basement, stage 3-send to warehouse for storage, stage 4-final destruction (RSI module must be purchased separately)	Y	1 = ACTIVE 2 = OFFLINE 3 = DESTROY 4 = CUTOFF 5 = INACTIVE 6 = SEMIDOR 7 = DORMANT 8 = ARCHIVE
RSI Rule Codes	Identifies RSI Rule Codes		DES = DESTROY
RSI Status Codes	Identifies RSI Status	Y	ACT = ACTIVE INA = INACTIVE
RSI Vital Records Protection Codes	Identifies Vital Protection Code (RSI)		NORM = NORMAL
RSI Vital Records Storage Codes	Identifies Vital Protection Storage Codes (RSI)		SECURE = Secure Installation FIRERES = Fire Resistant CLIMATE = Climate Controlled
Security Codes	Identifies the security level of various objects. Also, assigned to a Patron (User) to identify records he/she will have access to.	Y	SA – 99-System Admin Default RM – 75-Records Manager UNC – 10-Unclassified CON – 20-Confidential PRO – 30-Protected SEC – 40-Secret

3.2.3 iRIMS System Settings

System settings affect the behavior of iRIMS for all users. These are set by the iRIMS system administrator and cannot be changed the users. There are five tabs under System Settings.

1. System – Setting
2. System – Configuration
3. System – Rules
4. RSI Settings
5. RM Import

Exhibit 21, System Setting – Settings Tab, lists the Setting Tab default settings.

Exhibit 21: System Setting – Setting Tab

Field/Button	Description	System Setting
Groups	Drop Down Box	901 – Records Managers
Disposition	Drop Down Box	DEL – Delete

Field/Button	Description	System Setting
Generate Next File Number	Radio Button: By Prefix By Primary By System	Check: By Primary
Generate Next Alternate Document ID	Radio Button: Document Number By Prefix By System By Code	Check: By Document Number
Number of failed logon attempts before lock out	Number	Not set
User must change password every	Number	Not set
Warn Users X days before expiration	Number	Not set
User ID Case Sensitive	Check Box	Unchecked
Minimum Password Length	4	6
Password Case Sensitive	Check Box	Unchecked
Field Separator	Text Box	Not set
Box Dimension Unite	Text Box	Not set
Calculate Total Space Using	Check Box: Length Depth Height	Not set
Crystal Report Directory	Text Box	Not set
Security Model	Radio Button: Security Levels Security Sets	Check: Security Levels
Database Language	Radio Button: English French Both	Check: English
Information Line CFG Location	Text Box	Not set
Code Separator	Drop Down Box:

Exhibit 22, System Setting – Configuration Tab, lists the Configuration Tab default settings.

Exhibit 22: System Setting – Configuration Tab

Field/Button	Description	System Setting
Automatic Spell Checking	Check Box	Checked
Enable Folder Restriction Access	Check Box	Checked
Use Period as Delimiter in File Number	Check Box	Checked
Checked Use Folder Unique ID	Check Box	Checked
Audit Trail Enabled	Check Box	Checked
Write to Audit Trail on Delete	Check Box	Checked
Flow Defaults Can Be Set at User	Check Box	Checked

Field/Button	Description	System Setting
Level		
Flow Defaults Can Be Set at Row Level	Check Box	Checked
Use Pierce Leahy	Check Box	Unchecked
Encrypted User Passwords	Check Box	Unchecked
Show Section Main View	Check Box	Checked
Show Part in Classification	Check Box	Checked
Show Section in Classification	Check Box	Checked
Log Off Setting Can Be Set at User Level	Check Box	Unchecked
Log Off Setting Can Be Set at Role Level	Check Box	Unchecked
Disable Patron Dropdowns	Check Box	Checked
Disable People Dropdowns	Check Box	Checked
Prefix on Box	Check Box	Unchecked
Security on Box	Check Box	Unchecked
Version Control	Check Box	Unchecked
Document Folder Hard Link	Check Box	Unchecked
Extracted Documents not Read-only	Check Box	Unchecked
Use People for Document Reply Patron	Check Box	Unchecked
Access Control Lists/Permissions	Check Box	Unchecked
Do Not Propagate Holds	Check Box	Unchecked
Document Subject Mandatory	Check Box	Unchecked
Document Status Mandatory	Check Box	Unchecked
Document Originator Mandatory	Check Box	Unchecked
Disable Manual Entry of Folder Number and Folder ID	Check Box	Unchecked
Disable Manual Entry of RSI on Folder Insert	Check Box	Unchecked
Folder Comment Mandatory	Check Box	Unchecked
Disable Manual Entry of Folder Status / Date	Check Box	Unchecked

Exhibit 23, System Setting – Rules Tab, lists the Rules Tab default settings.

Exhibit 23: System Setting – Rules Tab

Field/Button	Description	System Setting
Check Section Primary Range	Check Box	Checked
Default Primary Information	Check Box	Unchecked
Default Primary Number	Check Box	Unchecked
Docket Number Override	Check Box	Unchecked
Document Number Override	Check Box	Unchecked
Verify a Valid Folder Exists for Each Document	Check Box	Checked
Display Message When a boxes Item is Being Put Away	Check Box	Unchecked

Field/Button	Description	System Setting
Allow Editing of File Notes by Other Users	Check Box	Unchecked
Synchronize Transfer Dates with Contents	Check Box	Unchecked
Repeat File Subjects	Check Box	Unchecked
Check Last Folder on Boxing	Check Box	Unchecked
Return Description from File Code Browser	Check Box	Unchecked
Check for Charged Out Folders on Box Put Away	Check Box	Unchecked
PA Paper Message	Check Box	Unchecked
Display Document Number on Insert	Check Box	Unchecked
File Key Security	Check Box	Checked
Do Not Allow Request of Charged Out Folders	Check Box	Unchecked
Update Item Status/Date with Box Status/Date	Check Box	Checked
Update Item Location with Box Location	Check Box	Checked
Box Contents Restrict Access	Check Box	Unchecked
Allow Transfer of Charged Out Items	Check Box	Unchecked
Allow Delete of Charged Out Items	Check Box	Unchecked
Do Not Check Bring Forwards Before Charging Out	Check Box	Unchecked
Verify RSI Match When Boxing	Check Box	Unchecked
Generate BF on iRIMS Requests	Check Box	Checked
Cannot Add Documents to Closed Folders	Check Box	Unchecked
Validate Date Input Using Short Date Setting	Check Box	Unchecked
Patron Delete Always Deletes from iRIMS People	Check Box	Checked
Do Not Allow Open Folders to be Boxed	Check Box	Unchecked

Exhibit 24, System Setting – RSI Settings Tab, lists the RSI Settings Tab default settings.

Exhibit 24: System Setting – RSI Settings Tab

Field/Button	Description	System Setting
Default RSI on File Insert	Check Box: Use RSI Apply Rules Use Parent File RSI Use Primary RSI	Check: Primary RSI
Default RSI on Folder Insert	Check Box: Use RSI Apply Rules Use File RSI	Check: Use File RSI

Field/Button	Description	System Setting
Default RSI on Document Insert	Check Box: Use RSI Apply Rules Use Parent RSI	Check: Use Parent RSI
Default RSI on Box Insert	Check Box: Use RSI Apply Rules	
Inserted Schedules Do Not Require Approval	Check Box	
Total Period Calculation	Radio Button: None Concatenate all Retention Information Addition of Retention Information	Check: Addition of Retention Information

Exhibit 25, System Setting – RM Import Tab, lists the RM Import Tab default settings.

Exhibit 25: System Setting – RM Import Tab

Field/Button	Description	System Setting
Import from IRCH Retention Manager	Check Box	Unchecked
Import to Stages	Drop Down Box	ACT – Active
Item Types	Drop Down Box	Not set
Box	Drop Down Box	Box Create Date
Document	Drop Down Box	Document Create Date
Folder	Drop Down Box	Folder Create Date

3.2.4 System Defaults

System defaults are the default settings for iRIMS. System Defaults are settings that can be edited by users to suit their preferences. There are three levels of defaults:

1. System
2. Role
3. User

Role defaults are settings that are applied to user roles. Role defaults override System defaults and are determined by the iRIMS system administrator. User defaults are settings that an individual user can set. User defaults override Role defaults. The defaults window has the same look for each level. There are 13 tabs in the System Defaults window:

- | | |
|----------------|----------------|
| 1. General | 8. Flow |
| 2. Boxing | 9. Folder |
| 3. Circulation | 10. Other |
| 4. Dockets | 11. RSI |
| 5. Documents | 12. Scheduling |
| 6. Electronic | 13. View |
| 7. Files | |

The following exhibits summarize the default settings for the system. Settings for the Roles and User have default to the system setting. No changes to settings for Roles and Users were made.

Exhibit 26, System Defaults – General Tab, lists the General Tab default settings.

Exhibit 26: System Defaults – General Tab

Field/Button	Description	System Setting
Start up View	Drop Down Box	File
Start up Mode	Radio Button: Normal Maximized Minimized	Normal
Row Count	Number	9999
Display first in Drop Down	Radio Button: Code Description	Code
Show Contents in Right Click Menu	Radio Button: Edit Related View None	None
User Viewing Preference	Radio Button: Number Subject Default	Not Set
User Display Language	Radio Button: English French Default	Default
Automatically added Favorites remove after 'X' days	Number	Blank
Default Flags	Check Boxes: Hide Row Lines Filter Navigator Lookups Delete documents after import Always reset quick find to default criteria Edit request message before sending Show related view tabs Show information line Vertical view orientation	Show related view tabs
Prefix	Drop Down Box	Not set
Security	Drop Down Box	Not set
Automatically log user off after 'X' minutes	Number	10

Exhibit 27, System Defaults – Boxing Tab, lists the Boxing Tab default settings.

Exhibit 27: System Defaults – Boxing Tab

Field/Button	Description	System Setting
Boxes: Type	Drop Down Box	Not set
Boxes: Status	Drop Down Box	Not set
Boxes: Location	Drop Down Box	Not set
Boxes: Reference Rate	Drop Down Box	Not set
Box Contents: File Type	Drop Down Box	Not set
Default Flags	Check Boxes: Box Create Date Box Status Date Add to Favorites on Insert Transfer Create Date	Not set
Create new record using	Radio Button: Default Values Repeated Values	Default Values
Contains	Radio Button: Originals Copies	Originals

Exhibit 28, System Defaults – Circulation Tab, lists the Circulation Tab default settings.

Exhibit 28: System Defaults – Circulation Tab

Field/Button	Description	System Setting
Default Object	Drop Down Box	Not set
Reason	Drop Down Box	Not set
Type	Drop Down Box	Not set
History Rows	Number	99
Print Routing Slip	Check Box: Automatically prints routing slip using the report listed	Unchecked
Report Name	Drop Down Box	Not set
Default Flag	Check Boxes: Charge Out Date Charge To	Not set
Send Recall-Message Recipients	Check Boxes: Charged to Borrower	Not set
Edit recall message before sending	Check Box	Not set

Exhibit 29, System Defaults – Dockets Tab, lists the Dockets Tab default settings.

Exhibit 29: System Defaults – Dockets Tab

Field/Button	Description	System Setting
Docket Type	Drop Down Box	Not set

Field/Button	Description	System Setting
Create new record using	Radio Button: Default Values Repeated Values	Defaulted Values
Label: Label Type	Drop Down Box	Not set
Label: Copies	Number	Not set
Label: QRP Type	Drop Down Box	Not set
Label: Printer	Drop Down Box	Not set
Label: Fast Print on Create	Check Box	Unchecked
Label: Options	Drop Down Box: Print Save Format Batch/Save Format Batch	Print

Exhibit 30, System Defaults – Documents Tab, lists the Documents Tab default settings.

Exhibit 30: System Defaults – Documents Tab

Field/Button	Description	System Setting
Type	Drop Down Box	Not set
Origin	Drop Down Box	Not set
Language	Drop Down Box	Not set
Status	Drop Down Box	Not set
Essential	Drop Down Box	Not set
Reply Type	Drop Down Box	Not set
Alternate ID Code	Drop Down Box	Not set
Quick File Using	Radio Button: File Favorites File Pick List	File Favorites
Quick File Using	Radio Button: Folder Favorites Folder Pick List	Folder Favorites
Create new record using	Radio Button: Default Values Repeated Values	Default Values
Default Flags	Check Box: Document Date Document Date Entered Document Date Received Document Status Date Paper Record Official Batch Keywords Originator	None Checked

Field/Button	Description	System Setting
Label	Radio Button: Batch Print	Batch
Label: Label Type	Drop Down Box	Not set
Label: Copies	Scroll Box	1
Label: QRP Type	Drop Down Box	Not set
Label: Printer	Drop Down Box	Not set

Exhibit 31, System Defaults – Electronic Tab, lists the Electronic Tab default settings.

Exhibit 31: System Defaults – Electronic Tab

Field/Button	Description	System Setting
Filing Bin	Check Box: Auto-Profile Documents Auto-Profile Emails	None checked
Import Directory	Text Box with Explorer	Not set
Extract	Text Box with Explorer Default Directory Check Box: Open after extract	Not set
Default Flags	Check Box: Delete documents after import	Unchecked

Exhibit 32, System Defaults – Files Tab, lists the Files Tab default settings.

Exhibit 32: System Defaults – Files Tab

Field/Button	Description	System Setting
Type	Drop Down Box	LIV – Livelink Documents
Status	Drop Down Box	ACT – Active
Essential	Drop Down Box	Y – Yes
Storage	Drop Down Box	ONL – Online
Country	Drop Down Box	USA
Default Primary	Drop Down Box	Not set
Create new record using	Radio Button: Default Values Repeated Values	Defaulted Values
Default Flags	Check Box: File Create Date File Status Date Batch Keywords Add to Favorites on Insert	Check File Create Date Check Files Status Date
User Classification Window		

Field/Button	Description	System Setting
Show First	Radio Button: File Number File Subject	File Number
Maximum rows to display	Text Box	99
File Delimiter	Drop Down Box: - /	-
Filter by File Status	Drop Down Box	Not set
Filter by File Type	Drop Down Box	Not set

Exhibit 33, System Defaults – Flow Tab, lists the Flow Tab default settings.

Exhibit 33: System Defaults – Flow Tab

Field/Button	Description	System Setting
Object	Object Selection Window	
Flow	Flow Explorer with Check Boxes	Prefix: Check: Part Check: Section Check: Primary Check: File Primary Check: File File – None checked Folder – None checked Docket – None checked Document – None checked Box – None checked
When done return to:	Drop Down Box	Prefix: Prefix Primary: File File: Files Docket: None Document: None Box: None

Exhibit 34, System Defaults – Folder Tab, lists the Folder Tab default settings.

Exhibit 34: System Defaults – Folder Tab

Field/Button	Description	System Setting
Type	Drop Down Box	Not set
Location	Drop Down Box	Not set

Field/Button	Description	System Setting
Default Folder Status to File Status	Radio Button: Yes No	Yes
Status	Drop Down Box	Not set
Supplement Type	Drop Down Box	Not set
Quick File Using	Radio Button: File Favorites File Pick List	File Favorites
Create New Record Using	Radio Button: Default Values Repeated Values	Default Values
Default Flags	Check Box: Folder From Date Folder To Date Folder Status Date Folder Create Date Batch Keywords Add to Favorites on Insert	None checked
Label: Label Type	Drop Down Box	Not set
Label: Copies	Number	1
Label: QRP Type	Drop Down Box	Not set
Label: Printer	Drop Down Box	Not set
Label: Fast Print on Create	Check Box	Not set
Label: Options	Drop Down Box: Print Save Format Batch/Save Format Batch	Print

Exhibit 35, System Defaults – Other Tab, lists the Other Tab default settings.

Exhibit 35: System Defaults – Other Tab

Field/Button	Description	System Setting
People: Group	Drop Down Box	901 – Records Managers
People: Prefix	Drop Down Box	ELG – Eligibility and Oversight
People: Security	Drop Down Box	RM – Records Manager
People: Security Set	Drop Down Box	Not set
Accession: Location	Drop Down Box	Not set
Accession: Status	Drop Down Box	Not set
Accession Create Date	Check Box	Not checked
Accession Status Date	Check Box	Not checked
Add to Favorites on Insert	Check Box	Not checked

Exhibit 36, System Defaults – RSI Tab, lists the RSI Tab default settings.

Exhibit 36: System Defaults – RSI Tab

Field/Button	Description	System Setting
Status	Drop Down Box	ACT – Active
Reference Rate	Drop Down Box	High
Code	Drop Down Box	Normal
Storage	Drop Down Box	Normal
Note Type	Drop Down Box	Not set
Component Type	Drop Down Box	Not set
Reference Type	Drop Down Box	Not set
Cross Reference Type	Drop Down Box	Not set
Apply Priority	Number	Not set
Default Flags	Check Box: Create Date Status Date Approval Date Archive Review Request Date Discontinue Date Batch Keywords Show All Apply Rule Matches Add to Favorites on Insert	Check: Create Date Check: Status Date
Date To Use: Folder	Drop Down Box	Not set
Date To Use: Box	Drop Down Box	Not set

Exhibit 37, System Defaults – Scheduling Tab, lists the Scheduling Tab default settings.

Exhibit 37: System Defaults – Scheduling Tab

Field/Button	Description	System Setting
Default Object	Drop Down Box	DOC – Document
Reason	Drop Down Box	Not set
Type	Radio Button: Bring Forward Reserved Recurring	Bring forward
Default Flags	Check Box: Bring Forward Date Patron	None checked

Exhibit 38, System Defaults –View Tab, lists the View Tab default settings.

Exhibit 38: System Defaults – View Tab

Field/Button	Description	System Setting
View	Object Selector	For all objects

Field/Button	Description	System Setting
Start In	Radio Button: Normal Favorites Default Search	Normal
Show Fast Find Tool Bar	Check Box	Checked
Quick Find Criteria	Drop Down Box	Not set
Filter	Drop Down Box	Not set
Users can override	Check Box	Checked
Open Related View	Drop Down Box	Not set

3.3 User Interface

The iRIMS user interface is a static interface that is not subject to customization. Any changes that may affect the interface are handle through the use of system setting that can alter user preferences and system security, which can limit menu items for different user roles. System settings are discussed in Section 3.2 System Settings. Security Settings are discussed in Section 3.6.

3.4 File Plan

3.4.1 iRIMS Terminology

The SFA File Plan was developed as a separate deliverable under this tasking. For more information, please refer to the SFA File Plan. This section describes how the File Plan is implemented in iRIMS.

The following terminology is used by iRIMS to describe the File Plan hierarchy.

Prefix – highest level of the file plan. SFA will be using a three-letter code to designate the prefix, e.g., ELG.

Part – A part is defined as a division within the subject File classification system identifying types of records; for example, Part 1 - Housekeeping Records, Part 2 - Operational Records. SFA is not using parts. When entering the part information simply assign a part of 1-. It is important to remember to add the hyphen after the 1.

Section – A section is the number assigned to each section (block) within a Part of the File classification system. When entering the section information simply assign a section of 1-. It is important to remember to add the hyphen after the 1. As part of the section information the range of the primary numbers are assigned.

Primary – A Primary is an alphanumeric designator assigned to a primary subject area of the File classification system. The numeric component of the Primary is mandatory. When entering the primary, a number with a description must be entered, e.g., 100, SFA Administration. In the SFA file plan, the primary is the level with the 3-digit number. A Record Series Indicator (RSI) maybe assigned at this level as well as the file level.

File – A file is an alphanumeric code that identifies a subject within a file classification system. It is the level below the primary and consists of the 3-digit (for SFA) number followed by hyphen and another number, e.g., 100-1 General Correspondence. Files can drill down further so one may have 100-4-1 Internal as a file, which is below 100-4 Training in the SFA file plan. An RSI may be assigned at this level as well as the primary level.

3.4.2 iRIMS File Plan Implementation

The file plan consists of a series of file tags, which are arranged to facilitate the grouping of SFAs documents. The arrangement is a three-tiered hierarchical structure that applies to all functional areas of SFA.

The highest-level functional category is the first tier file tag, the second tier file tags are subcategories and additional subcategories are classified under the third tier file tags. The third tier file tags map a document to a National Archives and Records Administration (NARA)-approved records control schedule. It is only at the third tier that documents are actually filed. For more information on the File Plan, refer to the SFA File Plan.

Primary level settings for the SFA File Plan are shown in Exhibit 39, SFA File Plan - Primary Level.

Exhibit 39: SFA File Plan – Primary Level

Prefix	Title	Part	Section	Primary From	Primary To	Primary	Subject
ACT	Accounting and Finance	1-	1-	400	449	400	SFA Accounting and Finance
ADM	Administration	1-	1-	100	124	100	SFA Administration
AGR	Agreements	1-	1-	275	299	275	SFA Agreements
BUD	Budget	1-	1-	450	499	450	SFA Budget
ELG	Eligibility and Oversight	1-	1-	800	899	800	SFA Eligibility and Oversight – Lenders and Guarantee Agencies
ELG	Eligibility and Oversight	1-	1-	800	899	850	SFA Eligibility and Oversight – Schools (Foreign and Domestic)
ELG	Eligibility and Oversight	1-	1-	800	899	875	Case Subject Materials (AAAD)
GRL	Grants and Loans	1-	1-	700	799	700	SFA Grants and Loans
HRM	Human Resources Management	1-	1-	300	399	300	SFA Human Resources
IMM	Information Management	1-	1-	500	599	500	Information Management
IRF	Internal Review and Follow-up	1-	1-	225	249	225	SFA Internal Review/Audits
LEG	Legal and Legislative	1-	1-	175	199	175	SFA Legal and Legislative
MGT	Management Records	1-	1-	250	274	250	SFA Management Materials
PLA	Planning and Analysis	1-	1-	150	174	150	SFA Planning and Analysis

Prefix	Title	Part	Section	Primary From	Primary To	Primary	Subject
POL	Policy	1-	1-	200	224	200	SFA Policy
PRC	Procurement and Contracts	1-	1-	125	149	125	SFA Procurement and Contracts

The Eligibility and Oversight category includes records, which document the process that an educational institution participates in SFA programs. These records include eligibility files, financial statements, audit reports, and program review files.

SFA File Plan third level implementation settings for Eligibility and Oversight - Schools (Domestic and Foreign) are shown in Exhibit 40, SFA File Plan - File Level.

Exhibit 40: SFA File Plan – File Level

Prefix	File Number	File Security	File Type	Essential	Storage	Date Created	Status	Status Date	Subject
ELG	850-1	99	SUB	N	LIV	07/2/01	ACT	07/2/01	General Correspondence
ELG	850-2	99	SUB	Y	LIV	07/2/01	ACT	07/2/01	Eligibility and Certification Approvals
ELG	850-3	99	SUB	N	LIV	07/2/01	ACT	07/2/01	Eligibility and Certification Correspondence
ELG	850-4	99	SUB	N	LIV	07/2/01	ACT	07/2/01	Applications
ELG	850-5	99	SUB	Y	LIV	07/2/01	ACT	07/2/01	Financial Analysis
ELG	850-6	99	SUB	N	LIV	07/2/01	ACT	07/2/01	Audit Reports
ELG	850-7	99	SUB	N	LIV	07/2/01	ACT	07/2/01	Congressional Correspondence
ELG	850-8	99	SUB	N	LIV	07/2/01	ACT	07/2/01	Program Review Files
ELG	850-9	99	SUB	N	LIV	07/2/01	ACT	07/2/01	Financials

3.5 Disposition

IRIMS' RSI Disposition module, available from the Navigator Tools menu, provides required record transfer and destruction capabilities.

3.5.1 Establishing Disposition

The iRIMS RSI (Record Series Identifier) method of applying disposition was chosen because it allows the user to assign Retention and Disposal (R&D) information at the Primary, File, Folder and Box levels within iRIMS. The user can find and select items from a list and choose to create, use an existing or inherit from a related item the different RSI settings. For more

information concerning the establishment of Disposition settings in iRIMS, refer to Exhibit 41, DRCC Dispositions and RSI Settings.

3.5.2 Destroying Records

RSI Disposition begins with a screening query to identify records eligible for destruction. The user selects one or more of the listed records and activates the disposition process. iRIMS destroys records in such a manner that they cannot be physically reconstructed by a file recovery utility such as Norton Utilities. iRIMS also deletes the record profiles from the database. For non-electronic records, iRIMS deletes only the profiles from the database.

Exhibit 41, DRCC Dispositions and RSI Settings, lists disposition of records based on the file plan folders.

Exhibit 41: DRCC Dispositions and RSI Settings

Description of Records	Types	Disposition	Destroy?
Eligibility Files	Applications for Title IV programs, Program Participation Agreements (PPAs)	Temporary- Cutoff 1 year after the institution's next program re-certification	12 years after cutoff
Eligibility Files	Correspondence, memorandum, and other documents relevant to applications, and PPAs	Temporary- Cutoff 1 year after the institution's next program re-certification	12 years after cutoff or when no longer needed by the Department for reference purposes
Eligibility Files	Electronic copies of applications received through the Postsecondary Education Participants System (PEPS) via the Internet	Temporary- A paper copy of the application is printed out and placed in the school file	TBD
Eligibility Files	Reference copies of word processing and electronic records, Electronic versions of records created by electronic mail or word processing applications	Temporary- Delete copy when no longer needed	When no longer needed for reference
Financial Statement Files	Financial statements submitted annually by participating Title IV institutions, balance sheets, cash flow information, information concerning income/retained earnings, and other related correspondence compiled in support of applications completed to certify or re-certify an organization's eligibility to participation in Title IV programs.	Temporary- Cutoff files two years after the end of the fiscal year in which the review is completed	12 years after cutoff
Financial Statement Files	Reference copies of word processing and electronic records, Electronic versions of records created by electronic mail or word processing applications.	Temporary- Delete reference copy when no longer needed	When no longer needed for reference or updating

Description of Records	Types	Disposition	Destroy?
Audit Reports	Compliance audit reports, audit clearance documents, schedule of findings, summary schedules, and other correspondence submitted by participating Title IV institutions in support of applications completed to certify or re-certify an organization as eligible to participate in Title IV SFA Programs.	Temporary- Cutoff files two years after the end of the fiscal year in which the review is completed	12 years after cutoff
Program Review Files	Program review reports, Documentation that determines whether participating post-secondary institutions comply with Title IV SFA program requirements	Temporary- Cutoff files one year after the institution terminates from the Title IV SFA programs.	12 years after cutoff
Program Review Files	Reference copies of word processing and electronic records, Electronic versions of records created by electronic mail or word processing applications concerning the Program Review Files.	Temporary- Delete reference copy when no longer needed	When no longer needed for reference or updating

3.6 Security

iRIMS has 3 levels of security consisting of System Administrators, Records Managers and General Users. The iRIMS System Administrators will have full access to everything including the configuration of the system. The Records Managers will have full access to all activities related to the management of records but will not have System Administration rights. The General User will only have access to view items in iRIMS such as the File Plan and Retention Schedules.

In order to facilitate creation of Roles and assigning functions, the functions in Exhibit 42, Records Staff Role Definitions, are *normally* assigned to various staff members including but not limited to Records Managers. In most cases, it will be necessary to either add and/or deleted functions from this list depending on your business rules.

Exhibit 42: Records Staff Role Definitions

Records Office Staff Role Functions	Description
-RIMS Login-	Login into RIMS Navigator
Administration - Audit Trail	Access to RIMS Audit Trail window
Administration - Statistics	Access to Statistics window
Administration - Statistics - Active Compare	Access to Active Statistics Compare window (compare updated items)
Administration - Statistics - Active List	Search/Produce List of Active Statistics
Administration - Statistics-Graph Active	Produce Active Statistics in a graphical format
Administration - Statistics-Graph History	Produce History Statistics in a graphical format
Administration - Statistics-History Compare	Access to History Statistics Compare window (compare updated items)
Administration - Statistics-History List	Search/Produce List of Historical Statistics

Records Office Staff Role Functions	Description
Administration - Statistics-Move Selected to History	Move selected Active Statistics to History
Administration - Statistics - Move to History	Move Active Statistics to History
Administration - Statistics-Print Details	Print Detailed Statistical Report
Administration - Statistics-Print Summary	Print Statistical Summary Report
Audit Trail – Boxes	Access to Audit Trail window - Boxes View (view deleted Boxes notations)
Audit Trail - Documents	Access to Audit Trail window - Documents (view deleted Document notations)
Audit Trail – Files	Access to Audit Trail window - Files View (view deleted File notations) Access to Audit Trail window - Folders View (view deleted Folder notations)
Audit Trail - Folders	Change security level of single/multiple Boxes simultaneously
Batch Security Change - Box Security	Change security level of single/multiple Documents simultaneously
Batch Security Change - Document Security	Change security level of single/multiple Files simultaneously
Batch Security Change - File Security	Change security level of single/multiple Folders simultaneously
Batch Security Change - Folder Security	Delete a BF assigned to a Box
Box - Bring Forward -Delete	View Box BF Details window
Box - Bring Forward -Details	Access to Audit Trail window - Boxes View (view deleted Boxes notations)
Box-Bring Forward Insert	Assign a BF to a Box
Box - Bring Forward -Update	Update an existing BF assigned to a Box
Box - Bring Forward List	Produce BF List
Box - Change	Change the Box ID
Box - Change Owner	Change Owner (creator) of box
Box - Circulation -Acknowledge	Acknowledge (date/time stamp) receipt of Charged Out Box
Box - Circulation -Activity	View Current/Historical Charge Out information relating to a Box
Box - Circulation -Cancel	Cancel Box Charge Out (not recorded in Charge Out History)
Box - Circulation -Charge Out	Charge Out a Box
Box - Circulation -Pass	Record Box being passed to another user
Box - Circulation -Put Away	Put-Away Box
Box - Circulation -Recall List	Produce a list of Boxes which are to be return to Records Centre
Box - Circulation -Send Recall (Email)	Send Recall Notice via -E-Mail
Box - Circulation -Update Charge Out	Update Box Charge Out information
Box - Delete	Delete a Box
Box - Extensions	Access to Box Extensions (if created)
Box - Insert	Insert (Create) a Box
Box - Send	Send (Date/Time Stamp) a Box to storage facility
Box - Transfer Contents	View Contents of a Transfer
Box - Update	Update (Modify) Box information
Box Contents - File and Folder - Insert	Insert File and Folder to be inserted into a box
Box Contents - File and Folder - Update	Update File and Folder information from Box Contents window
Box Contents Delete	Remove contents from a Box
Box Contents Insert	Insert contents into a Box
Box Document Contents - Insert	Insert Documents into a Box
Box Document Contents - Remove	Remove Documents from a Box
Box Keyword-Delete	Delete Box Keywords

Records Office Staff Role Functions	Description
Box Keyword-Insert	Insert Box Keywords
Box Listings List	Produce Listings of Boxes
Boxes charged out to me - Circulation - Cancel Charge Out	From Boxes charged out to me window, access Cancel Charge Out window from Tools/Circulation window
Boxes charged out to me - Circulation - Charge Out	From Boxes charged out to me window, access Charge Out window from Tools/Circulation window
Boxes charged out to me - Circulation - Pass	From Boxes charged out to me window, access Pass window from Tools/Circulation window
Boxes charged out to me - Circulation - Put Away	From Boxes charged out to me window, access Put Away window from Tools/Circulation window
Circulation-Batch Print Recall Notices	Print Recall Notices due today
Circulation-Charge To	Checks Charge To Patron for Prefix access
Docket - Bring Forward - Delete	Delete Docket BF
Docket - Bring Forward - Details	View Docket BF Details
Docket - Bring Forward - Insert	Insert a Docket BF
Docket - Bring Forward - Update	Update (Modify) a Docket BF
Docket - Bring Forward List	Produce a Docket BF List
Docket - Circulation - Acknowledge	Acknowledge (date/time stamp) receipt of Charged Out Docket
Docket - Circulation - Activity	View Current/Historical Charge Out information relating to a Docket
Docket - Circulation - Cancel	Cancel Docket Charge Out (not recorded in Charge Out History)
Docket - Circulation - Charge Out	Charge Out a Docket
Docket - Circulation - Pass	Record Docket being Passed to another user
Docket - Circulation - Put Away	Put Away a Docket
Docket - Circulation - Recall List	Produce a list of Dockets which are to be return to Records Centre
Docket - Circulation - Send Recall (Email)	Send Recall Notice via E-Mail
Docket - Circulation - Update Charge Out	Update Docket Charge Out information
Docket - Copy	Copy (Transfer) a Docket
Docket - Delete	Delete a Docket
Docket - Insert	Insert a Docket
Docket - Label - Insert	Insert Label information
Docket - Move	Move a Docket
Docket - Update	Update (Modify) a Docket
Dockets charged out to me - Circulation - Cancel Charge Out	From Dockets charged out to me window, access Cancel Charge Out window from Tools/Circulation window
Dockets charged out to me - Circulation - Charge Out	From Dockets charged out to me window, access Charge Out window from Tools/Circulation window
Dockets charged out to me - Circulation - Pass	From Dockets charged out to me window, access Pass window from Tools/Circulation window
Dockets charged out to me - Circulation - Put Away	From Dockets charged out to me window, access Put Away window from Tools/Circulation window
Document - Additional Details	Access to Additional Details window for Document
Document - Bring Forward-Delete	Delete a Document BF
Document - Bring Forward-Details	View Document BF Details
Document - Bring Forward-Insert	Insert a Document BF
Document - Bring Forward-Update	Update (Modify) Document BF
Document - Bring Forward List	Produce a list of Documents to be brought forward
Document - Change Owner	Change Owner (creator) of the document

Records Office Staff Role Functions	Description
Document - Circulation - Acknowledge	Acknowledge (date/time stamp) receipt of Charged Out Document
Document - Circulation - Activity	View Current/Historical Charge Out information relating to a Document
Document - Circulation - Cancel	Cancel Document Charge Out (not recorded in Charge Out History)
Document - Circulation - Charge Out	Charge Out a Document
Document - Circulation - Pass	Record Document being passed to another user
Document - Circulation - Put Away	Put Away a Document
Document - Circulation - Recall List	Produce a list of Document which are to be return to Records Centre
Document - Circulation - Send Recall (Email)	Send Recall Notice via E-Mail
Document - Circulation - Update Charge Out	Update Document Charge Out information
Document - Copied From	Access to Document Additional Details window to identify selected document as a copy and to note number of Versions to keep
Document - Copy	Copy (Transfer) a Document
Document - Delete	Delete a Document
Document - Essential	Insert/Delete Document Essential
Document - Extensions	Access to Document Extensions (if created)
Document - Insert	Insert a Document
Document - Microfilm Data	Enter Document Microfilm data
Document - Move	Move (Transfer) a Document
Document - Reply	Enter Document Reply information (correspondence control)
Document - Routing	Route Documents
Document - Status Change	Change (Modify) Document Status
Document - Update	Update (Modify) Document
Document Keyword-Delete	Delete a Document Keyword
Document Keyword-Insert	Insert a Document Keyword
Document Note-Delete	Delete a Document Note
Document Note-Insert	Insert a Document Note
Document Note-Update	Update a Document Note
Documents charged out to me - Circulation - Cancel Charge Out	From Documents charged out to me window, access Cancel Charge Out window from Tools/Circulation window
Documents charged out to me - Circulation - Charge Out	From Documents ~char-ed out to me window, access Charge Out window from Tools/Circulation window
Documents charged out to me - Circulation Pass	From Documents charged out to me window, access Pass window from Tools/Circulation window
Documents charged out to me - Circulation -Put Away	From Documents charged out to me window, access Put Away window from Tools/Circulation window
File - CNR/PIB	Enter/Delete File CRN/PIB
File - Change Owner	Change Owner (creator) of file
File - Delete	Delete a File
File - Extensions	Access to File Extensions (if created)
File - Folder Transfer	Transfer folder(s) from one file to another
File - Insert	Insert a File
File - Status Update	Update File Status
File - Transfer-Copy	Copy (Transfer) a File
File - Transfer-Merge	Merge (Transfer) a File
File - Transfer-Move	Move (Transfer) a File
File - Update	Update (Modify) a File

Records Office Staff Role Functions	Description
File Keyword-Delete	Delete File Keywords
File Keyword-Insert	Insert File Keywords
File Note - Delete	Delete a File Note
File Note - Insert	Insert a File Note
File Note - Update	Update (Modify) a File Note
File Responsible - Delete	Delete a File Responsibility
File Responsible - Update	Insert a File Responsibility
File Responsible - Insert	Update (Modify) a File Responsibility
File Transfer-Change Original File Status	Enable/Disable Chang Original File Status option-File Transfer
File Transfer-Delete Original File	Enable/Disable Delete Original File option-File Transfer
File Transfer-Set Hold Flag	Enable/Disable Hold Flag option-File Transfer
Folder - Box	Access to Box - Folder Sub-view
Folder - Bring Forward - Delete	Delete a Folder BF
Folder - Bring Forward - Details	View Folder Bring Forward details
Folder - Bring Forward - Insert	Insert a Folder BF
Folder - Bring Forward - Update	Update a Folder BF
Folder - Bring Forward List	Produce a list of Folder BFs
Folder - Change Owner	Change owner (creator) of folder
Folder - Circulation - Acknowledge	Acknowledge (date/time stamp) receipt of Charged Out Folder
Folder - Circulation - Activity	View Current/Historical Charge Out information relating to a Folder
Folder - Circulation - Charge Out	Charge out a Folder
Folder - Circulation - Charge Out Cancel	Cancel Folder Charge Out (not recorded in Charge Out History)
Folder - Circulation - Pass	Record Folder being passed to another user
Folder - Circulation - Put Away	Put Away a Folder
Folder - Circulation - Recall-Send Recall (Email)	Produce a list of Folder which are to be return to Records Centre
Folder - Circulation - Recall List	Send Recall Notice via ~E-Mail
Folder - Circulation - Update Charge Out	Update Folder Charge Out ~information
Folder - Delete	Delete a Folder
Folder - Document Transfer	Transfer Document from Noted Folder to another
Folder - Extensions	Access to Folder Extensions (if created)
Folder - Insert	Insert a Folder
Folder - Label-Insert	Insert new Label information
Folder - Microfilm Data	Enter Microfilm data related to a folder
Folder Modify PA Papers Flag	Enable/Disable PA Paper Flag
Folder Status Update	Update (Modify) a Folder Status
Folder Type Change	Change Folder Type/Folder Number of selected folder
Folder Update	Update (Modify) a Folder
Folder Keyword - Delete	Delete Folder Keywords
Folder Keyword - Insert	Insert Folder Keywords
Folder Supplement - Delete	Delete a Folder Supplement
Folder Supplement - Insert	Insert a Folder Supplement
Folder Supplement - Update	Update (Modify) a Folder Supplement
Folders charged out to me - Circulation – Cancel Charge Out	From Folders charged out to me window, access Cancel Charge Out window from Tools/Circulation window
Folders charged out to me - Circulation Charge Out	From Folders charged out to me window, access Charge Out

Records Office Staff Role Functions	Description
	window from Tools/Circulation window
Folders charged out to me - Circulation - Pass	From Folders charged out to me window, access Pass window from Tools/Circulation window
Folders charged out to me - Circulation – Put Away	From Folders charged out to me window, access Put Away window from Tools/Circulation window
Label Maintenance - Docket - Delete	Delete Docket Labels from Label Maintenance window
Label Maintenance - Docket - Print	Print selected Docket Labels from Label Maintenance window
Label Maintenance - Docket - Update	Update selected Docket Labels from Label Maintenance window
Label Maintenance - Folder - Delete	Delete Folder Labels from Label Maintenance window
Label Maintenance - Folder - Print	Print selected Folder Labels from Label Maintenance window
Label Maintenance - Folder - Update	Update selected Folder Labels from Label Maintenance window
Policies And Procedures - Open	Open (Launches) native application which selected item was created in order to view document
Policies And Procedures - Update	Update (Modify) entry in Policies and Procedures window
Policies And Procedures - View	View entry in Policies and Procedures window
Prefix - Update	Update (Modify) a Prefix
Primary - Update	Update (Modify) Primary
Primary Keyword - Delete	Delete Primary Keywords
Primary Keyword - Insert	Insert Primary Keywords
Primary Note - Delete	Delete a Primary Note
Primary Note - Insert	Insert a Primary Note
Primary Note - Update	Update (Modify) a Primary Note
Properties - Box	View Box Property Sheet
Properties - Box Charge Out	View Box Charged Out Property Sheet
Properties - Box Extensions	View Box Extensions Property Sheet
Properties - Docket	View Docket Property Sheet
Properties - Docket Charge Out	View Docket Charge Out Property Sheet
Properties - Document	View Document Property sheet
Properties - Document Additional Details	View Additional Document Details Property Sheet
Properties - Document Extensions	View Document Extensions Property Sheet
Properties - Document Microfilm	View Document Microfilm Property Sheet
Properties - Document Reply	View Document Reply Property Sheet
Properties - File	View File Property Sheet
Properties - File Additional Details	View Additional File Details Property Sheet
Properties - File Extensions	View File Extensions Property Sheet
Properties - Folder	View Folder Property Sheet
Properties - Folder Charge Out	View Folder Charge Out Property Sheet
Properties - Folder Extensions	View Folder Extensions Property Sheet
Properties - Folder Microfilm	View Folder Microfilm Property Sheet
Properties - Primary	View Primary Property Sheet
Properties - Supplement	View Supplement Property Sheet
Report Export	Export (save) selected Report
Report Preview	Preview (view) selected Report
Report Print	Print selected Report
Save Search - Delete	Delete a Saved Search
Save Search - Public	Save your Search (on advanced search windows) to Public

Records Office Staff Role Functions	Description
Save Search - Publish	Enables you to select Patrons who can use your Saved Search
Save Search - Rename	Rename a Saved Search
Tools - Circulation	Access to Circulation Desktop
Tools - Classification Manual - File	Print a File Classification Manual List
Tools - Classification Manual - Part	Print a Part Classification Manual List
Tools - Classification Manual - Prefix	Print a Prefix Classification Manual List
Tools - Classification Manual - Primary	Print a Primary Classification Manual List
Tools - Classification Manual - Section	Print a Section Classification Manual List
Tools - Edit Flow	Access to Edit Flow window (internal Wizard)
Tools - Inventory - File	Generate File Inventory Report
Tools - Inventory - Responsible	Generate an Inventory Report of all File which are the responsibility of selected Patron
Tools - Label - Batch Generate	Generate multiple labels at once
Tools - Label - Batch Print	Print your saved labels simultaneously
Tools - Label - Batch Remove	Remove label batch flag from batched labels
Tools - Label - Maintenance	Access to Label Maintenance window
Tools - Label - Maintenance - Dockets	Update/Delete/Print Docket Labels
Tools - Label - Maintenance - Documents	Update/Delete/Print Document Labels
Tools - Label - Maintenance - Folders	Update/Delete/Print Folder Labels
Tools - Reports - Alpha Listing	Produce an Alpha Listing report
Tools - Retention/Disposition Listings	Generate Retention/Disposition Listings
Tools - Scheduling	Access to Scheduling (BF) Desktop
User Preferences	Set User Preferences (Defaults)
View - Box	Enables you to access Box in the View drop down
View - Box Activity	Enables you to access Box Activity from Box sub view
View - Box Activity History	Enables you to access Box Activity History from Box sub view
View - Box Bring Forwards	Enables you to access Box Bring Forwards from Box sub view
View - Box Contents	Enables you to access Box Contents from Box sub view
View - Box Extensions	Enables you to access Box Extensions from Box sub view
View - Box Keywords	Enables you to access Box Keywords from Box sub view
View - Boxes Charged to Me	Enables you to access Box Schedule from Box sub view
View - Docket Activity	Enables you to access Docket Activity from Docket sub view
View - Docket Activity History	Enables you to access Docket Activity History from Docket sub view
View - Docket Bring Forwards	Enables you to access Docket Schedule (BF) from Docket sub view
View - Dockets	Enables you to access Dockets from View drop down
View - Dockets ~Char-ed to Me	Enables you to access Dockets Charged to me from View drop down
View - Document	Enables you to access Documents from View drop down
View - Document Activity	Enables you to access Document Activity from Document sub view
View - Document Activity History	Enables you to access Document Activity History from Document sub view
View - Document Bring Forward	Enables you to access Document Schedule (BF) from Document sub view
View - Document Extensions	Enables you to access Document Extensions from Document sub view
View - Document Keywords	Enables you to access Document Keywords from Document sub view
View - Document Notes	Enables you to access Document Notes from Document sub view

Records Office Staff Role Functions	Description
View - Documents Charged to Me	Enables you to access Documents Charged to Me from View drop down
View - File	Enables you to access File in the View drop down
View - File Extensions	Enables you to access File Extensions from File sub view
View - File Keywords	Enables you to access File Keywords from File sub view
View - File Notes	Enables you to access File Notes from File sub view
View - File Responsible	Enables you to access File Responsible from File sub view
View - Files Related	Enables you to access File Related Views from File sub-view
View - Folder Activity	Enables you to access Folder Activity from Folder sub view
View - Folder Activity History	Enables you to access Folder Activity History from Folder sub view
View - Folder Bring Forwards	Enables you to access Folder Schedule from Folder sub view
View - Folder Extensions	Enables you to access Folder Extensions from Folder sub view
View - Folder Keywords	Enables you to access Folder Keywords from Folder sub view
View - Folder Notes	Enables you to access Folder Notes from Folder sub view
View - Folders	Enables you to access Folders in the View drop down
View - Folders Charged to Me	Enables you to access Folders Charged to Me from View drop down
View - Folders sub view	Enables you to access Folders sub view window
View - Primary	Enables you to access Primary in the View drop down
View - Primary Keywords	Enables you to access Primary Keywords from Primary sub view
View - Primary Notes	Enables you to access Primary Notes from Primary sub view
View - Responsible Files	Enables you to access Responsible Files from Files sub view
View - Supplements	Enables you to access Supplements from the Folder sub view
View - Transfer Box Contents	Enables you to access Transfer Box Contents from the Transfer sub view

3.7 Reports

Native to iRIMS is a full range of reports necessary for records management. No custom reports were identified or configured.

APPENDIX A—Requirements Traceability Matrix

The requirements traceability matrix (RTM) provides a method for tracking the functional requirements and their implementation through the implementation process. Each functional requirement listed in this document is included in the matrix along with its associated section number and DoD 5015.2 citation where appropriate. When the ERMS is ready for system testing, the matrix will be used to verify that each requirement is correctly implemented.

SFA ERMS Requirements Traceability Matrix

Requirement	Description	Software Component		System Design/Specification	Verification Method				Test Plan Reference
		LL	R		A	I	D	T	
2.2.1.1	The SFA ERMS shall provide the capability for only authorized individuals to create, add, edit, and delete records and their files codes. Each file code shall be linked to its associated file and to its higher-level file code(s).		X	Native to the iRIMS System, the security model is detailed in section 3.6 "Security" of the System Configuration and Integration Specification.					
2.2.1.2	The SFA ERMS shall provide users with the capability to select and assign a file code to a record if the user chooses to save an electronic document in the system.	X		Native to the system.					
2.2.1.3	The SFA ERMS shall assign a unique computer-generated record identifier to each record.	X	X	Native to the system.					
2.2.1.4	The SFA ERMS shall not permit modification of the record identifier once assigned.	X	X	Native to the system.					
2.2.1.5	The SFA ERMS shall prevent changes to documents that have been designated as records. The content of the record, once filed, shall be preserved. Changed or revised records shall be designated as new records with different identification data.	X	X	Native to the system.					
2.2.1.6	In the process of scanning the backlog of paper documents within SFA, metadata fields shall be captured as part of the scanning process.			Handled by conversion vendor					
2.2.1.7	When a user saves an electronic document to the SFA ERMS, the system shall automatically date a document when it is saved as a record, and preserve the date of receipt on records received. This date shall remain constant, without being changed when the document is accessed, read, copied, or transferred. The ERMS shall not permit this data to be edited.	X		A create date is captured by the system when a document is put into the ERMS. Other dates can also be assigned as part of the capture process, such as date due, date closed, etc.					

Requirement	Description	Software Component		Verification Method					
		LL	R	System Design/Specification	A	I	D	T	Test Plan Reference
2.2.1.8	The SFA ERMS shall provide the capability to link supporting and related records and related information such as notes, marginalia, and attachments, as well as all metadata, to the record.	X		Compound Document					
2.2.1.9	The SFA ERMS shall provide the capability to bulk load (i.e., import) the following:			Open Text Professional Services will facilitate					
2.2.1.9.1	File Plan. <i>{one time}</i>		X	Open Text Professional Services will facilitate					
2.2.1.9.2	Disposition Instructions and Codes. <i>{one time}</i>		X	Open Text Professional Services will facilitate					
2.2.1.9.3	Electronic Records. <i>{multiple times}</i>		X	Open Text Professional Services will facilitate (could possibly use Livelink Bulk Loader Package and the Upload Extractor Package)					
2.2.1.9.4	Record Metadata. <i>{multiple times}</i>	X		Open Text Professional Services will facilitate					
2.2.2.1	The SFA ERMS shall provide the capability to create, add, edit, and delete disposition instructions from the General Records Schedule or the Department Records Disposition Schedule and their associated disposition codes. Each disposition code shall be linked to its associated disposition instruction.		X	Native to iRIMS. Final Records Schedule to be entered into system upon completion.					
2.2.2.2	The SFA ERMS shall provide the capability to change a file tag assigned to a filed record.	X		Native to system					
2.2.2.3	The SFA ERMS shall be capable of scheduling each of the following three types of disposition instructions:			Native to the system, the dispositions and settings are detailed in section 3.5 "Disposition" of the System Configuration and Integration Specification					

Requirement	Description	Software Component		Verification Method					
		LL	R	System Design/Specification	A	I	D	T	Test Plan Reference
2.2.2.3.1	Dispositions, where records are eligible for disposition immediately after the expiration of a fixed period of time.		X	Native to the system, the dispositions and settings are detailed in section 3.5 "Disposition" of the System Configuration and Integration Specification					
2.2.2.3.2	Event Dispositions, where records are eligible for disposition immediately after a specified event takes place.		X	Native to the system, the dispositions and settings are detailed in section 3.5 "Disposition" of the System Configuration and Integration Specification					
2.2.2.3.3	Time-Event Dispositions, where the retention periods of records are triggered after a specified event takes place.		X	Native to the system, the dispositions and settings are detailed in section 3.5 "Disposition" of the System Configuration and Integration Specification					
2.2.3.1	The SFA ERMS shall (for each record) capture or provide the user with the capability to assign, as appropriate, metadata elements when the record is filed.	X		Categories and document types defined in Requirements Specifications document (see Exhibit 6, Categories).					
2.2.3.2	The SFA ERMS shall provide the capability for only authorized users to modify the metadata values of stored records that have not been specified as uneditable.	X		Native to the system, configured through the security model					
2.2.3.3	The SFA ERMS shall provide indexing capabilities that allow the user to search and retrieve records based upon pre-determined indexing, or metadata elements. These data elements should represent to the user a common, logical way to access and retrieve records.	X		Live Reports and queries will be created based on the group's specific requirements.					
2.2.3.4	The SFA ERMS shall store all metadata date fields in a date format that allows date range searching.			Native to the system.					

Requirement	Description	Software Component		System Design/Specification	Verification Method				Test Plan Reference
		LL	R		A	I	D	T	
2.2.3.5	The SFA ERMS shall provide the capability to output for viewing, saving, or printing the record profile information (metadata).	X	X	Need additional detailed requirements. Specifically why would you need to print the record profile information?					
2.2.4.1	The SFA ERMS shall include a repository for storing electronic records and prevent unauthorized access to the repository.			System Architecture					
2.2.4.2	The SFA ERMS shall not alter nor allow alteration of records contained in the SFA ERMS.	X		Native to the system, controlled through security model.					
2.2.4.3	The SFA ERMS shall preserve the format and content of the record as it was filed.	X		Native to the system.					
2.2.4.4	Only authorized individuals shall have the ability to move/delete records from the SFA ERMS.			Native to the system, controlled through security model.					
2.2.5.1	The SFA ERMS shall provide for viewing, saving and printing list(s) of records within record categories based on disposition instruction code, record category or file code, and/or disposition event to identify records due for disposition processing. The information contained in the list(s) shall be user definable record profile attributes.		X	Native to the system, iRIMS reports to be identified and extended as needed.					
2.2.5.2	The SFA ERMS shall identify files scheduled for cutoff, and present them only to the authorized individual for approval. The system shall not allow any additions or other alterations to files that have reached cutoff.			Native to the system.					
2.2.5.3	Records that have been frozen shall be identifiable by the SFA ERMS, and authorized individuals shall have the capability to reactivate or change a record's assigned disposition.			Native to the system, controlled through security model.					

Requirement	Description	Software Component		System Design/Specification	Verification Method				
		LL	R		A	I	D	T	Test Plan Reference
2.2.5.4	The SFA ERMS shall provide for viewing, saving, and printing lists of records that have no assigned disposition. <i>{similar to 2.2.5.1}</i>			Native to the system, iRIMS reports to be identified and extended as needed.					
2.2.5.5	The SFA ERMS shall, using the disposition instruction for the record category, identify and present records that are eligible for destruction.		X	Native to the system, iRIMS reports to be identified and extended as needed					
2.2.6.1	All documents in the SFA ERMS shall be retrievable by authorized users.	X		Native to the system.					
2.2.6.2	Using metadata elements as search criteria, the SFA ERMS shall allow searches using any combination of the metadata elements.	X		Native to the system.					
2.2.6.3	Users shall have the capability to specify partial matches for multiple word fields and designate "wild card" fields or characters.	X		Native to the system.					
2.2.6.4	The SFA ERMS shall allow searches using Boolean logic: and, or, greater than (>), less than (<), equal to (=), and not equal to (/=).	X		Native to the system.					
2.2.6.5	The SFA ERMS shall present the user a list of documents meeting the retrieval criteria, or notify the user if there are no records meeting the retrieval criteria. The information contained in the list shall be user definable from the set of record profile attributes.	X		Native to the system. Results screen to be modified according to specific requirements.					
2.2.6.6	The SFA ERMS shall provide to the user's workstation copies of electronic documents selected from the list of documents meeting the retrieval criteria in the format in which they were provided to the system for filing.	X		Native to the system.					
2.2.6.7	The SFA ERMS shall provide the capability to view each file in its stored format or its equivalent. <i>{similar to 2.2.6.6}</i>	X		Native to the system.					

Requirement	Description	Software Component		Verification Method					
		LL	R	System Design/Specification	A	I	D	T	Test Plan Reference
2.2.6.8	The SFA ERMS shall provide additional search and retrieval features such as full text search to assist the user in locating records.	X		Native to the system.					
2.2.7.1	The SFA ERMS shall link the record metadata to the record so that it can be displayed when needed and transported with the record when a copy is made and transmitted to another location.	X		Native to the system.					
2.2.7.2	The SFA ERMS shall, using the disposition instruction for the record category, identify and present those records eligible for transfer. <i>{same as 2.2.5.5}</i>		X	Native to the system, iRIMS reports extended as needed					
2.2.7.3	The SFA ERMS shall allow a user to copy the pertinent records and associated profiles to a user-specified filename, path, or device. <i>{not likely}</i>	X		Need additional detailed requirements. Specifically why would you need to copy the associated profile to a user-specified filename, path or device?					
2.2.7.4	The SFA ERMS shall provide the capability for only authorized users to suspend the deletion of records and related profiles until a successful transfer has been confirmed.		X	Native to the iRIMS System, the security model is detailed in section 3.6 "Security" of the System Configuration and Integration Specification.					
2.2.7.5	The SFA ERMS shall provide the capability to move associated records and related metadata for each record approved for transfer.		X	Native to the system.					
2.2.7.6	The SFA ERMS shall provide the capability to transfer permanent records and related metadata approved for transfer to NARA in a format approved by NARA at the time of transfer. <i>{what is the NARA format?}</i>		X	Need to investigate how to transfer metadata information with the record. Need to obtain NARAs approved format, if it exists.					
2.2.8.1	The SFA ERMS shall support disposition instructions that include further retention and review later, transfer to NARA for permanent preservation, or destruction.		X	Native to the system.					

Requirement	Description	Software Component		System Design/Specification	Verification Method				Test Plan Reference
		LL	R		A	I	D	T	
2.2.8.2	SFA ERMS shall provide the capability to automatically track the disposition schedules of records.		X	Native to the system, iRIMS reports extended as needed					
2.2.8.3	For all records approved for destruction and for those that have been transferred, the SFA ERMS shall present a second confirmation, within a dialog box, requiring authorized individuals to confirm the delete command, before the destruction operation of the records and/or profiles are executed.		X	Native to the system.					
2.2.8.4	The SFA ERMS shall delete these records in a manner such that the records cannot be physically reconstructed.		X	Native to the system, can only be accomplished using magnetic or other non-permanent media					
2.2.8.5	If an individual authorized to destroy records attempts to destroy records that are not eligible for destruction, the SFA ERMS shall notify the individual that the records are not eligible for destruction, and not allow destruction. This is a safeguard to prevent accidental or willful destruction of records, record categories, and related indexes ineligible for destruction.		X	This functionality is native to the system and is set in the security model as to which users have permissions to delete certain items.					
2.2.8.6 <i>{exact copy of 2.2.8.10}</i>	The SFA ERMS shall provide the capability to reschedule records already in the system when disposition instructions change from the original designations.		X	Native to the system.					
2.2.8.7	The SFA ERMS shall provide the capability to extend or suspend (freeze) the retention period of individual file tags, which are required to be retained beyond their scheduled disposition because of special circumstances (such as a court order or an investigation) that have altered the normal administrative, legal, or fiscal value of the records.		X	Native to the system, however a process analysis is required for implementation.					

Requirement	Description	Software Component		System Design/Specification	Verification Method				Test Plan Reference
		LL	R		A	I	D	T	
2.2.8.8	The SFA ERMS shall be capable of implementing cutoff instructions for scheduled and unscheduled records.		X	Native to the system.					
2.2.8.9	The SFA ERMS shall provide the capability to assign a disposition instruction code to a file tag code, file tag name, or file title.		X	Native to the system.					
2.2.8.10	The SFA ERMS shall provide the capability to reschedule records already in the system when disposition instructions change from the original designations.		X	Native to the system.					
2.2.8.11	The SFA ERMS shall provide the capability to schedule records that were previously unscheduled and to correct dispositions that are in error. <i>{similar to 2.2.8.10}</i>		X	Native to the system.					
2.2.8.12	The SFA ERMS shall provide the capability to identify records with event-driven dispositions and provide the capability to indicate when the specified disposition event has occurred.		X	Native to the system, however a process analysis is required for implementation.					
2.2.8.13	The SFA ERMS shall provide the capability to identify records with time-event dispositions and provide the capability to indicate when the specified event has occurred and when to activate applicable cutoff and retention instructions.		X	Native to the system.					
2.2.8.14	If the disposition of the superseded record is to destroy when replaced, the SFA ERMS shall identify that the record is eligible for destruction.		X	Native to the system.					
3.2.1.1	SFA ERMS shall apply digital signature standards to uniquely identify and verify the originator of a record. (Non-repudiation)	X		Need additional detailed requirements.					

Requirement	Description	Software Component		Verification Method					
		LL	R	System Design/Specification	A	I	D	T	Test Plan Reference
3.2.1.2	SFA ERMS shall apply innate Windows NT standards required to identify and authenticate user access to the system and its records.	X		Native to the system. Security model needs to be input into the ERMS.					
3.2.1.3	SFA ERMS shall provide the ability to designate a Records Manager as the only person(s) responsible for reversing the designation of an official record.		X	Native to the system, security model needed					
3.2.1.4	SFA ERMS, in conjunction with its operating environment, shall use authentication measures that allow only authorized users to access the system. At a minimum, SFA ERMS will implement authentication measures that require User id and Password. <i>{same as 3.2.1.2}</i>	X		Native to the system. Security model needs to be input into the ERMS.					
3.2.1.5	SFA ERMS shall provide the capability to define access controls at system, organization, document (or record), and associated data level.	X		Native to the system. Security model needs to be input into the ERMS.					
3.2.1.6	SFA ERMS shall provide capability to define different groups of users and access criteria.	X		Native to the system. Security model needs to be input into the ERMS.					
3.2.1.7	SFA ERMS shall control access to records based on business needs and established privileges by work group membership, assigned role(s) and user identity. <i>{a sub-function of 3.2.1.6}</i>	X		Native to the system. Security model needs to be input into the ERMS.					
3.2.1.8	SFA ERMS shall support multiple-user access roles and responsibilities. <i>{a sub-function of 3.2.1.6}</i>	X		Native to the system. Security model needs to be input into the ERMS.					
3.2.1.9	SFA ERMS shall control access to transfer and destroy functions based on the identity of the user and the user role. <i>{a sub-function of 3.2.1.6}</i>	X		Native to the system. Security model needs to be input into the ERMS.					

Requirement	Description	Software Component		System Design/Specification	Verification Method				
		LL	R		A	I	D	T	Test Plan Reference
3.2.1.10	SFA ERMS shall control access to audit functions based on identity of the user and the user role. <i>{a sub-function of 3.2.1.6}</i>	X		Native to the system. Security model needs to be input into the ERMS.					
3.2.1.11	SFA ERMS shall provide a consistent level of system security and access controls for remote system access by SFA regional facilities.	X		Native to the system. Security model needs to be input into the ERMS.					
3.2.2.1	SFA ERMS shall provide an audit capability to log actions performed on each system record. These actions include view, create, copy, delete, move, and edit actions.		X	The audit functions are native to the system.					
3.2.2.2	SFA ERMS shall provide a capability whereby the Records Manager can specify which of the above actions are audited.		X	The audit functions are native to the system.					
3.2.2.3	SFA ERMS, as implemented in its operating environment, shall provide a query function whereby an organization can set up specialized reports to determine what level of access a user has, what records each user accessed, and what operations were performed on those records.		X	The audit functions are native to the system.					
3.2.2.4	SFA ERMS shall control access to audit functions based on the identity of the user and the user role		X	The audit functions are native to the system.					
3.2.2.5	SFA ERMS audit utilities shall provide an account of records capture, maintenance, retrieval, and preservation activities to ensure the reliability and authenticity of a record.	X		Basic functions native to system.					
3.2.2.6	SFA ERMS shall provide the capability to store audit data as a record.	X		Reports can be created to output the audit information.					
3.2.2.7	SFA ERMS shall provide record management audit report writing capabilities, including the following:			N/A					

Requirement	Description	Software Component		System Design/Specification	Verification Method				Test Plan Reference
		LL	R		A	I	D	T	
3.2.2.7.1	Total number of records		X	The audit functions are native to the system.					
3.2.2.7.2	Number of records by file tag		X	The audit functions are native to the system.					
3.2.2.7.3	Number of accesses by file tag		X	The audit functions are native to the system.					
3.2.2.7.4	Number of accesses by user group		X	The audit functions are native to the system.					
3.2.2.7.5	Others to be identified		X	The audit functions are native to the system.					
3.2.2.8	SFA ERMS shall log the following audit information for each record delete operation:			N/A					
3.2.2.8.1	Record identifier		X	The audit functions are native to the system.					
3.2.2.8.2	File tag		X	The audit functions are native to the system.					
3.2.2.8.3	User account identifier		X	The audit functions are native to the system.					
3.2.2.8.4	Date/time		X	The audit functions are native to the system.					
3.2.2.8.5	Authorizing individual identifier (if different from user account identifier).		X	The audit functions are native to the system.					
3.2.2.8.6	Disposition information to include disposition date.		X	The audit functions are native to the system.					
3.2.2.9	SFA ERMS shall log the following audit information for each access:			N/A					
3.2.2.9.1	Record identifier		X	The audit functions are native to the system.					
3.2.2.9.2	File tag		X	The audit functions are native to the system.					
3.2.2.9.3	User account identifier		X	The audit functions are native to the system.					

Requirement	Description	Software Component		Verification Method					
		LL	R	System Design/Specification	A	I	D	T	Test Plan Reference
3.2.2.10	SFA ERMS shall allow only Records Managers (or their designees) the capability to create/generate record management audit reports.		X	Native to the system, also referenced by the security model detailed in section 3.6 "Security" of the System Configuration and Integration Specification.					
3.2.2.11	SFA ERMS shall allow only the System Administrator (or designees) the capability to enable/disable the audit functions and to back up and remove audit files from the system.		X	Native to the system, also referenced by the security model detailed in section 3.6 "Security" of the System Configuration and Integration Specification.					
3.2.2.12	SFA ERMS audit utilities shall provide a record of transfer and destruction activities to facilitate reconstruction, review, and examination of the events surrounding or leading to mishandling of records, possible compromise of sensitive information, or denial of service.		X	Native to the system.					
3.2.2.13	Audit records shall be retained until authorized for disposition according to the appropriate Records Schedule or the General Records Schedule.		X	Native to the system.					
3.2.2.14	SFA ERMS shall, for transactional data, which allows for modification as part of a workflow process, identify the editable data elements and maintain a history of changes to those fields. <i>{ask Tim O'Connell for clarification}</i>			The audit functions are native to the system.					
3.2.3.1	SFA ERMS shall support alternate hardware devices necessary for accessibility.			No details specified by the customer.					
3.2.3.2	SFA ERMS shall support the use of text labels and text equivalents for non-text elements along with other conventions necessary for proper accessibility design.			The labels are native to the system.					

